

## A Three Step B2B Sales Model Based on Satisfaction Judgments

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**3rd Mediterranean Interdisciplinary  
Forum on Social Sciences and Humanities,  
MIFS 2015,  
*17 - 19 May 2015, Barcelona, Spain***



## **PROCEEDINGS**

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# **EXPERIENCE OF THE INTEREST EDUCATION IN DEVELOPMENT OF A SOCIALLY ACTIVE PERSON IN LIEPAJAS CHILDREN AND YOUTH CENTRE (LATVIA)**

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## **Abstract**

Interest education in Latvia is an essential component of the education system. Formal education is related with school activities, while implementation of interest educational is more flexible. Interest education content has a more practical nature therefore developing specific skills that influence forming of the individual's attitudes. The development of interests has a complex and diverse nature and it is an important aspect of personal development. This establishes a special focus on pupil's education, development and improvement, as each country's future is based on children and youth. At the same time, it can be noted that the opportunities of interest education for personal development has not been properly evaluated. The paper deals with the opportunities of interest education centres in providing self-implementation possibilities in the context of the development of a socially active individual. Practical research was carried out on the basis of Liepaja Children and Youth Centre's experience. In order to identify the thematic planning of the centre and its compliance with socially active personality. Involving the students in interest education, it is possible to increase pupils' activity and involvement in social processes of city, county and state significance.

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**Keywords:** Interest education, interest, interest education pedagogue

## **Introduction**

### **Description of the problem**

Education has three main tasks: the individual – to develop each individual's talents and abilities; the cultural - to deepen understanding of the world; the economic - to teach the skills necessary for individuals to be able to support themselves and become economically productive (Robinsons, 2013). Implementation of these education tasks in mutual interaction is an important aspect to help pupils integrate into the challenges posed by the 21<sup>st</sup> century. Extracurricular education or interest education plays essential role in the education system in Latvia as well as in Europe.

National documents, guidelines, standards, programmes mostly emphasise activities in formal education institutions. However it should be noted that the formal education often does not comply with the interests, needs and wishes of pupils. Formal education is related with school activities, while implementation of interest educational is more flexible and at the same time consistent with a planned structure.

Interest education includes education and upbringing activities where wishes and needs of the involved participants are of great importance. Interest education content has a more practical nature therefore developing specific skills that influence forming of the individual's attitudes. Interest education and upbringing is aimed at providing children and young people with civic and value education and development of patriotic awareness, implementation of individual needs and desires of their personal development and career growth, thoughtful spending of leisure time expanding the provision and availability of interest education. It also marks the need for a purposeful course of action to improve personal development, identify new opportunities for the implementation of interest education.

Research object: the process of implementing interest education. Research subject: Opportunities of interest education centres in providing self-implementation possibilities in the context of the development of a socially active individual. Research aim: Based on theoretical analysis of the literature and the performed research to explore and evaluate opportunities of interest education in providing self-implementation possibilities for a socially active individual. Research methods: Theoretic research methods – analysis of the theoretical literature in pedagogy, psychology and sources (documents). Empirical research methods – free association method, observation.

## **Implementation of interest education in the 21st century**

### **Characteristics of interest education influenced by the society globalisation**

First, Interest education is explained in the Education Law (Izglītības Likums, 2013) as implementation of an individual's personal education needs and wishes regardless of age and acquired education. Taking into account the fact that education has a social nature human personality fully develops if the personal independence is being integrated with taking care of others thus discovering others based on a moral vision of the world.

Social orientation makes the interest education to raise questions about the building of mutual relationships globally, in the country, counties, cities and parishes, creating the desire and the will to engage in public life and to be able to do that as implementation of the most important issue of the democracy along with the development of a sense of responsibility. The above list of problem tasks confirms the urgency and options of interest education's implementation in order to develop students' abilities and interests in line with the active experience in addition to formal education.

Education in its broadest sense has been described as the key to learning and understanding how to cope with these challenges of life. Active citizenship focuses on the question: how people participate in all social and economic spheres of life, and whether they feel they belong to their living environment (Eiropas komisijas...,2000).

Council of European Commission evaluating Youth policy in Latvia in 2008 pointed out that Latvia has a long and successful tradition of extracurricular education, which is called interest or hobby education by offering free and cheap schools, leisure and summer activities for children and young people aged 3 to 25. At the same time that some of the lessons seemed to the Commission like rather old-fashioned afternoon schooling in needlework and handicraft for children and they recommended that teachers, who work in the interest education, modernize the offer and not only renew the teaching and monitoring methodology, but also diversify the offer (Eiropas Padomes...,2008).

Recommendation of the European Parliament and the Council on the broader role of education stressed that education plays a key role in the preservation of the general cultural background and its restoration in the community, as well as acquiring such essential social and civic features as citizenship, equality, tolerance and respect, especially at a time when there is a need to address issues of how to deal with increasing social and cultural diversity. Moreover, enabling people to enter and stay in working life is an important aspect of the role of education in strengthening social cohesion (Eiropas Padomes...,2006)

In this context, an important issue for pupils' interest education is how to implement the interest education closely linking it to employment policy, social policy, cultural policy, innovation policy and other policies influencing young people and collaborating with social partners and other stakeholders on the basis of social and civic relationships.

Council Resolution of 27 November 2009 on a renewed framework for European cooperation in the youth field (2010-2018) one of the objectives put forward was - to support young people's creativity and capacity for innovation, from early childhood improving better quality access and participation in culture and expression, thereby supporting the development of individuals, greater ability to learn, sense of awareness of different cultures, understanding cultural diversity and respect for it, as well as to develop new and flexible skills for future employment opportunities, providing access to environments where young people can develop their creativity and interests and meaningfully spend their free time (Jaunatnes politikas...,2009).

### **Development of interest education in Latvia**

To ensure the inclusion of individuals in the trends set by the epoch, Latvian Sustainable Development Strategy 2030 (2010) highlights four important future directions: promotion of creativity, understanding of the principle of tolerance, thus being open and respecting other cultures and lifestyles, the implementation of cooperation between various institutions, non-governmental organizations jointly addressing problem tasks and participation (Latvijas ilgtspējīgas...,2010). It is emphasized that the quality of education, the availability and content of education at all levels and ages - from pre-school to adult education - is Latvia's opportunity for development and the precondition of increasing the value of human capital.

Technological competence is becoming increasingly important and thus openness to international and intercultural cooperation. Therefore it is considered an important aspect to direct educational institution work as an integral part of society and a positive agent of change, rather than an isolated entity acting in isolation from the surrounding environment (Latvijas ilgtspējīgas...,2010).

Also, the Youth Policy Guidelines for 2009 - 2018 sets the target to improve young people's - aged 13 to 25 years - quality of life by fostering their initiatives, participation in decision-making and public life (Jaunatnes politikas...,2009).

The National Development Plan 2014 - 2020 (Latvijas Nacionālais...,2014) states that all pupils by 2020 should have access to such activities outside formal education, which extend the experience, create opportunities to discover and develop their talents. Thus envisaging to cut

down the rate of students with little basic competences, while increasing the number of pupils who demonstrate the highest level of competence. The implementation of such tasks would affect the strengthening and development of interest education.

Currently Latvian government has approved the Guidelines for the Development of Education 2014 - 2020 (Izglītības attīstības...,2014) an important education policy planning document for the next seven years, which sets out key principles, objectives and directions of action of the education development policy. Promotion of an individual's professional and social skills' development for life and competitiveness in the work environment has been set as an important goal. Implementation of this objective advances expansion of interest education opportunities for pupils (Izglītības attīstības...,2014).

Since the interest education is not implemented in isolation from other developments, it is closely linked to general education, teaching and upbringing process as a whole, schools, different centres, and family cooperation. During the period from 2014 to 2020, Latvia has set a number of directions in this area: to ensure the development of the content of interest education programmes and implementation of new diverse programmes; to increase the role of interest education; to create a single database of interest education programmes; to explore the field of interest education and to increase the capacity of the interest education in sustainable development (Izglītības attīstības, 2014). This establishes a special focus on pupil's education, development and improvement, as each country's future is based on children and youth.

### **Formation of interests in personality development**

Interest in psychology is seen as a conscious personality tendency to direct attention, thoughts and actions to emotionally appealing objects (Vorobjovs, 1996). A person often has a versatile range of interests, they often intertwine, provide individual's necessities, desires, passions, thus ensuring the physical existence, spiritual growth and place in the society (Pedagoģijas terminu..., 2000). Interest in specific areas is a highly individual process, which is closely related to everyone's uniqueness and originality. This indicates that the development of interests has a complex and diverse nature and it is an important aspect of personal development.

Pedagogue V. Zelmenis believes that needs and interests are the basis of the individual's value orientation in line with his or her life goals and motives. The author's findings suggest that encouraging the needs and interests and the progress of development can determine priorities and attitudes in line with the society requirements (Zelmenis, 2000).

The overall conclusion is that the interest may arise and display only in spiritual or physical activity, along with an active attitude towards the area of interest. In the process of implementing interests a person is filled with pleasant emotions, willingness to work and gradually moves to higher success. Stable interest, in the view of the psychologist A. Vorobyov, is always based on a positive emotional state which is formed by the process of satisfying major individual's needs (Vorobjovs, 1996). Observation suggests that persistent interest for any area cannot be built by the influence of negative emotions. As additional education interest education provides students with: a useful and meaningful leisure time; creative self-expression, development of talents, self-development; socialization (acquisition of a variety of life skills, prevention of anti-social behaviour, reducing social exclusion); acquisition of first professional skills, career planning; supplementing the acquired knowledge and skills in formal education (Aukšmuksta, 2011).

It should be noted that there are pupils who are not yet convinced of their own interests and who should be provided support in creating their interests. Principles developed by pedagogues Lascenko A. and L. Druzika can be considered the basis of the interest education implementation based on humane pedagogy cognitions, choosing general human values as the priority, through active and positive collaboration with others, creating an ethical interaction, integrating the world's cultural heritage and spiritual values (Druzika&Ľlaščenko, 2004).

Human interests often change at the same time it should be noted that interests chosen in childhood, adolescence and youth often are present throughout the life.

Several benefits of extracurricular activities may be noted to help pupils develop their talents and skills to maintain health, build confidence, integrate into public life processes and build life skills. Historian V. Clinebell studies demonstrate that by engaging in extracurricular activities students fill their free time not so much by watching television or playing videogames, but rather by a meaningful activity. Thus, interest education has the opportunity to change and make their lives better, as well as to provide support for thorough development (Clinebell, 2012). A. Aukšmuksta refers to three major benefits of interest education in the personal development - formation of self-confidence, social skills, information and knowledge acquisition (Aukšmuksta, 2011).

### **Characteristic of the interest education pedagogue's activity**

Pupil and teacher relationship is the most important aspect in the implementation process of interest education. Teachers in communication with students tend to develop their personality, emphasizing confidence in



their own abilities in areas of their interest, facilitating making judgments, independence and responsibility.

According to the pedagogue S. Amonasvili the teacher must be able to wrangle, rejoice, and delight together with students. Moreover, for the pupils to be able to reason bravely, for independence to develop as the characteristic of the personality, for participation joy to trigger, it is necessary to create an opportunity for pupils to feel like leaders (Amonasvili, 1988). Teacher's operational efficiency is characterized by a wide range of teaching skills, empathy, patience and humility. Teachers' abilities and emotions are in close correlations with students' capacities, opportunities and emotions, while their balance could lead to a true spiritual community in the teaching process. As an essential element of humane pedagogy is the teacher's ability to engage students in their own personal development and to be on an equal footing.

Analysis of core competencies of interest education teachers reveals that the teacher must be a multi-dimensional personality, with broad vision and understanding of the pupils interests and with the ability to change with the time. This approach can increase acknowledgement of pupil's interests and active participation in public life processes. Pedagogue V. Zelmenis stresses that creation of students' attitudes and personality is a wide range teaching task that cannot be implemented only in the education process (Zelmenis, 2000).

Pedagogue V. Sibajev rightly points out that formation of the future society depends from the interest education teacher's personality, professionalism, knowledge, understanding of values, and the ability to change focusing on development. The pedagogue indicates that a teacher's success is not only based on the knowledge and ability to innovate, but also on the ability to have the courage in the context of the changing education and to continuously develop. Referring to the pedagogue V. Sibajev cognitions, teacher personality characteristics and professional competence, intertwining theoretical and practical activities, are the most important aspects to be able to purposefully implement the guidelines established in interest education (Šibajevs, 2002).

Pedagogue V. Zelmenis emphasizes that the formation of attitudes and positions is a broad pedagogical task and that it is impossible to implement it only in the teaching process (Zelmenis, 2000). While implementing interest education, pedagogues can use a variety of forms of work in their professional activities. A. Auksmuksta points out such forms of work as individual work, work in hobby groups and teams, creative workshops, hobby clubs, camps, leisure rooms, play rooms, common events, involvement in different projects (Aukšmuksta, 2011).

Table (1): Description of forms of work in interest education in the point of view of individual pedagogues

<b>A.Auksmuksta (2011)</b>	<b>V. Zelmenis (2000)</b>	<b>Cognitions</b>
Individual work	Individual classes	Pupils prepare for contests or competitions, development of everyone's abilities is being fostered (Zelmenis, 2000).
Work in hobby groups	Work in hobby groups (for example, drama or literature hobby groups, photography hobby groups, visual and applied art studios) Practical hobby groups	Involvement of pupils in hobby groups in accordance with their abilities and interests (Zelmenis, 2000).  Obtaining the necessary skills for life (Zelmenis, 2000).
Work in teams	Teams of artistic and sports amateurs: youth choirs; orchestras; theatre groups; dance groups	Involvement of pupils in hobby groups in accordance with their abilities and interests, contributes to the aesthetic needs and interests, develops creative abilities, develops specific skills (Zelmenis, 2000).
Creative workshops		
Interest clubs	Hobby groups of teaching subjects or science	Pupils broaden and deepen their knowledge in selected directions (Zelmenis, 2000).
Camps		
Leisure rooms		
Play rooms		
Events	Calendar events  Mass events  Education institution's events  Sports competitions	For example, Christmas and New Year events induce strong emotional experience in pupils (Zelmenis, 2000). These events are related to national holidays/events, celebration, entertainment and sports competitions. Celebration of national events contributes to patriotic education of pupils (Zelmenis, 2000). For example, 1st September, Teacher's Day. A successfully organized festival promotes team-building and the formation of pupils' friendship (Zelmenis, 2000). Good organization of a competition may develop into a beautiful celebration by actively participating and providing emotional experiences of successes and failures (Zelmenis, 2000).
Projects	Cultural attendance of common events	Attendance of exhibitions and concerts, going on excursions contributes to aesthetic education of pupils, promotes positive international cooperation (Zelmenis, 2000).

Research of forms of work confirms a variety of options in interest education. As a result, interest education teacher works with pupils both

individually and in organizing group work, engaging in camp work and different projects.

### **Practical research of Liepaja children and youth centre (Latvia) activities in the development of a personality**

Practical research was carried out on the basis of Liepaja Children and Youth Centre's (Latvia) experience. Liepaja Children and Youth centre (LCYC) is a public organization that organizes educational and cultural activities in Liepaja and Liepaja region. LCYC offer to schoolchildren and youngsters to spend their free time and develop their skills in arts, music, dances, technologies in hobby groups and youth clubs, to take part in different exhibitions, shows, intellectual games, summer camps, youth exchanges. LCYC cooperate with State education centre, Liepaja Educational board, Culture department, non governmental organizations and European youth exchange network "Platformnet", "Drums for peace". LCYC organize festivals, shows, exhibitions, camps, seminaars and conferences for youngsters, hobby group organizers, class teachers (Liepājas Bērnu..., 2014).

In order to identify the main thematic planning of the centre and its compliance with socially active personality development research and analysis has been carried out, covering the period from 2012 – 2014 (partly – 2015). The research aim was to find out the interest education centre's thematic offer for personality development and its compliance with cognitions of the theory.

Table (2): Description of the main activities in the implementation process of interest education in Liepaja Children and Youth centre

Work forms and activities	Thematic planning
Mass events (celebration of national events)	18 November - the Latvian Independence day. Latvian state importance day is respected. An event "My Latvia" was organized as part of the city erudition competition "Sharp mind battle" supplemented by creative workshops (2012); A concert "Let's be together at Latvia's birthday" (2013); Liepajas children and youth exhibition of drawings "My Latvia" was organised (2013, 2014); Erudition competition "Sharp mind battle" about Latvia (2014); Creative workshop "My cake for my Latvia" (2014); Grand concert "Sounds articles" at Latvia's birthday" (2014); "Lāčplēša Day" torch procession in Liepaja (2012.,2013.,2014); Check's show of the repertoire: In the way to XI Latvian School Youth Song and Dance Festival (2014)
Activities devoted to Liepaja City birthday	Environmental cognitive game contest "Get to know the environment" (2013); Musical show "Rosy flower" by Children and Youth Centre groups for Liepaja birthday (2013); City erudition competition "Sharp mind battle" on the topic "My Liepaja" (2013, 2014); Drawing contest devoted to Liepaja birthday (2013, 2014, 2015);

	Creative workshops: Liepaja - 390 "Every bird in Liepaja need his house" (2015)
Projects	Exhibition organized as part of the education project "Patterns in the dowry": colourful handloom shawls (2013); LCYC pupil exhibition and part of the project "Where the sun decorates itself" dedicated to 95 years of Latvia, series "My Latvia 95": performances and theatrical speech contest "Take a deep breath of your Latvia" (2013); Fashion Day "Colour explosion" (2014., 2015)
Cultural attendance of common events	Baltic Unity Day was marked in the international context in collaboration with Klaipeda (Lithuania) Latvian Association, by participation of LCYC / Youth Wind Orchestra of the Music Secondary School (2012); International intellectual tourney "What? Where? When?" (Klaipeda, Lithuania, 2013); International memorial exhibition cycle of the visual arts and visually plastic arts was organised for the village of Lidice in the Czech Republic "Lidice 2013", "Lidice 2014", "Lidice 2015" (2013, 2014, 2015); Strengthening the sense of family: „Family Festival” (Klaipeda, Lithuania, 2013) with participation of LCYC groups, event for parents – puppet theatre „Pifs” and „Winnie the Pooh” (2013); Family festival „Marta the Big Mouth and Frisic the Big Mouth” (2014); Latvian folk singing competition "Nightingale 2014" in Kurzeme's region (Latvia, 2014); Competition "Jokes Vortex 2013, 2014" semifinal and final in Lejaskurzeme (Latvia); IV International Festival "Wind Rhythms 2014": Children's and Youth wind and percussion instrument ensembles and orchestras (2014)
A link with schools	An event to mark the Knowledge Day „Let's celebrate the 1 <sup>st</sup> day at school together!” (2012); An event „Teacher of the Year” (2012); Concert by LCYC groups and creative workshops (2012); An exhibition of creative works „What a teacher can?” (2012, 2013); An incentive is given for choosing a profession: Career Week – drawing contest, erudition contest „Know the Profession” (2013); An event „The Cocktail of Professions” (2013); Drawing contest-exhibition "I will be..." (2013); Photo Contest "Moment in the profession" (2013) An event „The Great Class Teacher” (2014); Knowledge Day activity "Another New Year" (2014); Information on free time activities (2012, 2013, 2014); The contest "The Friendliest class" (2014); Event “Excellent class teacher” (2015)
Collaboration with different institutions	Collaboration with the library "Rainbow": meeting with the writer A.Manfeldi "Enjoy this day as a coarse of bread ...". By participating theater studio "Karlson's baggage" (2013); Collaboration with the library "Rainbow" during the poetry Days: meeting with poet M. Reinbergs . By participating musical art studio "Small berries" and hobby's group "Winnie the Pooh" participants (2013); Erudition competition "Liepaja. Latvia. The European Union. "

	<p>In cooperation with "Europe Direct" Information Centre / Liepaja department of Latvian Chamber of Commerce (2013); Storyteller festival "Flowing, flowing my speech" (2013., 2014); Storyteller festival "Fish soup" (2014);</p> <p>Latvian pupils championship of space models in the world: rockets'cosmic modelisme at the Air Base in Vainode (Latvia, 2015);</p> <p>Ship models competition in Perkone's channel (Latvia, 2014, 2015)</p>
Free time activities	<p>Autumn holiday activities and creative workshops for children "Pumpkin's secret thing" (2013);</p> <p>Meaningfully spent time during pupil's holidays with „Spring holiday creative workshop for the city kids" (2013., 2014,2015);</p> <p>Summer camp "Karlson's secret thing" (2014)</p>

Research of the thematic offer suggests that it covers a wide thematic range and forms of work. Christmas and New Year are especially welcome when the Masquerade processions take place in Liepaja streets, concerts and other performances are prepared.

### **Research of interest education from pupils' perspective**

The research aims to clarify pupils' association with the *interest education opportunities in the comparative context of* formal education. The research involved 45 LCYC participants of groups "The Little Jewellery School" and "Visual Arts".

Analysis of pupils' responses confirm that the involvement in groups of interests makes it possible for: self-affirmation, useful spending of free time, participation in hobby groups appropriate to one's interests, gaining new skills and making friends, educating in culture, engaging in important activities, feeling free and being joyful.

Some examples of positive aspects from pupil's point of view: there are no grades; may be late / absent, a lot of excursions; can take part in shows and competitions. The cognitions gained are in accordance with the theoretical knowledge of the scientific research context. Students notes that would love to club activities are not interrupted during the summer. The cognitions gained are in accordance with the theoretical cognitions of the scientists. Students note that they would love the group activities to continue also during the summer.

Analysis of pupils' responses on the teaching process of general education confirms that the school in the implementation of the pedagogical process also organizes excursions, hiking, there are also happy moments. Not-so-positive views were revealed in such answers as: a long sitting, short breaks, a lot of homework, boring, mandatory attendance, can meet not only friends but also enemies and bad classmates.

In general, it can be noted that implementing school and interest education's closer cooperation has to be improved; more targeted forms of work should be considered in the implementation of the teaching process, substantive offer must be continually improved in the context of the 21st century.

## **Conclusion**

Interest education in Latvia is an essential component of the education system, in the implementation of which some experience of proving individual needs, desires and interests, acquisition of skills and spending meaningful leisure time has been built up. According to the Latvian Education Law it is freely available to all students who wish to get involved. At the same time, it can be noted that the opportunities of interest education for personal development has not been properly evaluated.

Latvian interest education system is being implemented and its development is carried out in accordance with international and country specific frameworks, guidelines, recommendations and documents on education. At the same time, it can be concluded that the Latvian interest education needs more dynamic changes in its implementation and updating, in solving topical national problems, in the acquisition and expansion of active experience, in improvement of the interest education curriculum content and implementation of new programmes according to the context of the 21st century.

Involving the students in interest education, it is possible to increase pupils' activity and involvement in social processes of city, county and state significance, to contribute to the formation of patriotic feelings, to provide purposeful leisure time, to encourage the development of self-confidence and motivation, career development, help integrate in public life activities thus promoting the formation of an active life position in an individual.

Teachers involved in interest education must be flexible and creative, with the ability to change, to be the consultant, interlocutor, like-minded, they must have the propensity to self-realize and appreciate. Teachers need to be in self-development, towards improving, with the ability to act and collaborate, with the ability live up to.

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# METHODOLOGY OF E-LEARNING INCULCATION

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## Abstract

In the article is called the gap reasons between potential and real e-learning possibilities and it is indicate on the need to develop a methodology of its inculcation; is considered elements bundles of a system subsystems which are confirmed the some elementary structural junction of the three definite elements that universal logical functional dependence characterize which is called as “triads”. Structural model of these junctions is represented as a conventional isosceles triangle in the vertex of which is located the element, in essence balancing the internal contradictions of the other two; is shown the contradiction softening ways; the substantial components of the methodology of e-learning inculcation in the Republic of Kazakhstan are represented as a scheme and is given a brief description of the components shown in the scheme.

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**Keywords:** E-learning, triads, structural model, substantial components of the methodology, inculcation of the e-learning in the Republic of Kazakhstan

## Introduction

Tremendous progress in the electronic technique development provides good technical possibility for various didactic ideas realization. However, methodological aspects of e-learning lag behind from technical means development. The lag in methodological problems development and "low-tech" of existing psychological and pedagogical methods are one of principal gap reasons between potential and real e-learning possibilities (Solovov A.V., 2006). To e-learning possibility use need to develop a methodology of its inculcation.

## Structural components of the methodology of e-learning inculcation

Traditional training is interpreted usually as a pupil's cognitive activity management with the aim of forming by them the knowledge, skills and experience, of personal qualities development. Naturally, the learning environment with help which is realized the educational process is not taken



into consideration in this scheme. In the scheme shown in the article by A.V. Solovov (Solovov A.V., 2006), this environment is presented in the form of educational and methodical complex. As the author writes, the triad "Teacher - Training and methodical complex - Pupil" is considered and the inherent by pedagogical e-learning systems «feedback» concept peculiarity is shown.

However, something else is implying by "triads" in the article by Y.A.Nabi and G. K. Mendygalieva (Nabi Y.A., Mendygalieva G. K., 2006). There a system subsystems elements bundles were considered and follow supposition was confirmed: these elements form some elementary structural junction of the three definite elements which universal logical functional dependence characterize. Such logical structural bundles are called provisionally as "triads". Structural model of these junctions are represented as a conventional isosceles triangle in the vertex of which is located the element, in essence balancing the internal contradictions of the other two. Triad's pairs form the certain structural junctions in the form of rhombuses if the bases in which are located equal elements to connect.

The teaching subject – a teacher, the learning subject – a learner and the educational information environment make the basic triad of e-learning inculcation methodology components. The didactic possibilities of information communication technologies (ICT) are realized in this environment.

The contradiction softening caused by significant changes in the educational interaction between a teacher and a learner is realized in result of feedback not only between teacher and learner, but also between them and educational information environment based on ICT. The contradiction between leader role of a teacher and slave role of a learner is appeared in the result of this. In order to remove this contradiction the essence of training and information interaction in the e-learning inculcation condition it is necessary change, i.e. teacher's functions to transfer partially by a learner: learning outcomes control; organization of various activity forms at self-extraction and self-representation of knowledge; collect, processing, keeping, transference, circulate of information. Then structural junction in the rhombus form is formed.

However, e-learning inculcation methodology components structuring does not end on there. Consider other components.

The learner's role strengthening in the educational process evokes a contradiction between teacher and learning information environment, because the distrust to it in learning aims achieving by teachers. In order to remove this contradiction the scientific-pedagogical and methodological ensuring of the e-learning inculcation need to be developed. The new triad forms together with the learner a new rhombus in the result. However, the new triad appearance creates a contradiction between teacher and this

element, because he will have the additional work to the training functions. In order to remove this contradiction the methodological problems of teachers preparing for work in the e-learning inculcation conditions need to be developed. It is especially important that the teacher's role may be reduced to training content development with the advent of "mobile learning". Then a new link is appeared and the new triad is formed, it will consist for the elements: "the learning-information interaction essence", "learner" and "mobile learning peculiarity's identifying".

Permanent renovating and complicating of interactive learning means evoke an abnormally high interest by learner; he spends a lot of time on the computer. The contradiction between the educational process intensification necessity and the requirement of learner's mental and physical health arises. To remove this contradiction, the measures set on reducing of the negative consequences of information communication technologies means use in education it is necessary to substantiate scientifically. Educational products quality evaluation from the didactics and ergonomics position, as well as health-saving technologies is one measure for new contradiction removal. These technologies include the physiological and hygienic character measures described in special normative methodical documents. However, the potential of several sciences (medicine, sociology, law, etc.) it is necessary to unite on a methodological level with an aim to make the recommendations on the "computer dependence" destructing and young people from "virtual reality" separating.

Based on the foregoing, the substantial components of the methodology of e-learning inculcation in the Republic of Kazakhstan can be represented as a scheme in Fig.1.

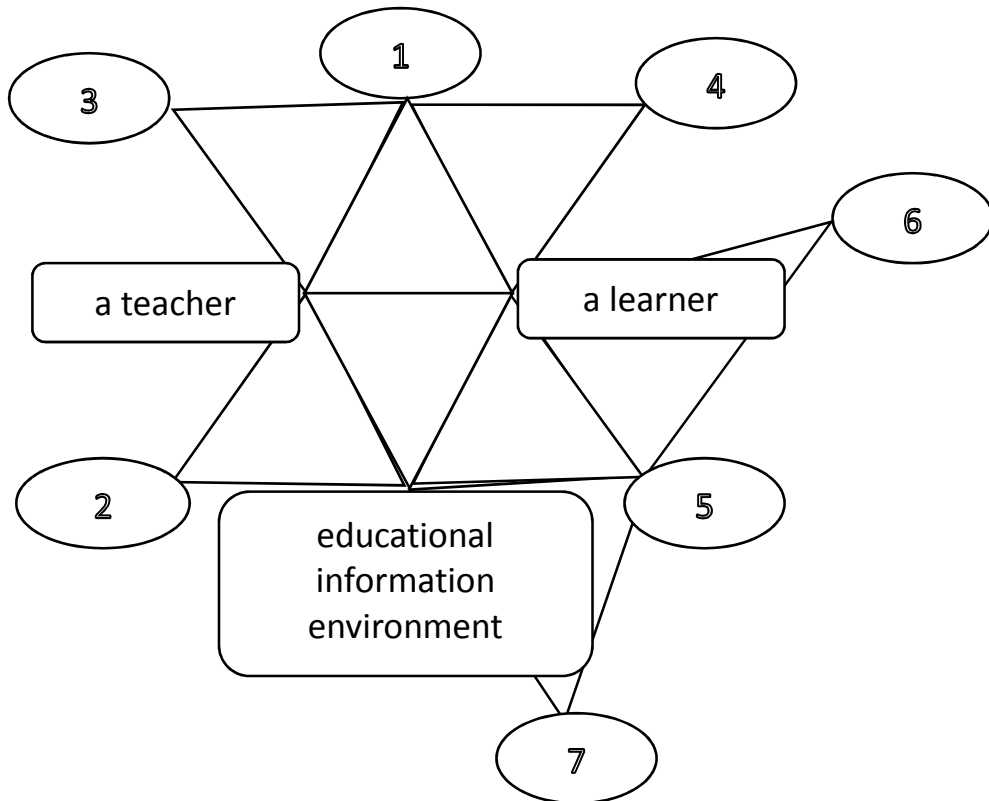


Figure1. Substantial components of the e-learning inculcation methodology in the Republic of Kazakhstan

*Notations:* 1 - Chance of learning and informational interaction essence in the e-learning inculcation conditions 2 - Development of e-learning inculcation scientific-pedagogical and educational-methodical ensuring 3 - Development of methodological problems of a teacher's preparation for work in the e-learning inculcation conditions 4 - Identify of mobile learning characteristics 5 - Scientific justification of the measures set on reducing of the negative consequences of ICT means use in education 6 - Development of health-saving technologies 7 - Evaluation of the educational products quality

Now we give a brief description of the components shown in Fig.1.

E-learning on the information communication technologies basis is considered as purposefully organized activity for educational process subjects interaction on the basis of telecommunication access to information resources for educational purposes and to the information technology services ensure. These subjects perform in the interaction result:

- feedback in a result of the interactive exchange by educational information between learner, information source and teacher;
- search, processing, storage and use of scientific, pedagogical, educational, methodological, technological and technical developments, control and measuring materials represented in electronic form;

- different operation modes with an information resource and the learner's actions correction.

Preparation for work in e-learning inculcation conditions is a practical activity on the scientific ensuring bases of the pedagogical staff preparing methodology development.

The educational purposes should be competent in the e-learning realization sphere, needs to implement the informatization in an educational institution, must know the interactive learning means use aspects in this preparing result. In addition to pedagogical preparedness he needs to take one's bearing in the psychological, ergonomic, technical, technological, legal provide matters of e-learning inculcation in their correlation and mutual influence.

E-learning inculcation is fulfilled with active use of pedagogical production manufactured for the information communication technologies realization. This production is presented in the form of educational, educational-methodical, didactic, demonstration, reference materials, laboratory equipment, training programs, virtual laboratories, etc.

The products creation and use must fully disclose the information communication technologies didactic potential with take into consideration by their pedagogical feasibility and requirements to psychological, methodological, ergonomic, technical and technological quality of each production functioned on a base of ICT. The implementation of pedagogical appropriateness and requirements to products quality must be evaluate in accordance with scientifically grounded methodology and parameters write down in the relevant standards.

As noted by R. Sobko, "Most authors at researches of influence of informatively-communication technologies on personality of student are accent attention on positive parties of the use of informatively-communication technologies in education, such as: individualization of studies, of bringing variety in an educational process, possibility of choice of own rate of studies every student, increase of good organization of personality, overcoming of fear for students with the special necessities (for example, with a stammer), simultaneous use of many factors of influence (a sound, image) in combination with possibility of rapid reiteration and control of knowledge that will improve the quality of study of material, development of the creative thinking. We are not denying the positive influence of informatively-communication technologies, but it is necessary to notice that the new stage of their development strengthens negative influences that were before or wretched and in general absent. ... As a result of such relation considerable part of students "lost" in a network, wasting time on an intercourse about nothing in chats and forums searches of new recipes, pictures, videos or other virtual satisfaction of the imaginary necessities. The

lack of time becomes the result of such actions for studies; intercourse of parents and children is break, no time on creative development of personality of young man. Consciously or unconsciously, getting in the snares of new information technologies, the problem of self-realization, developing by flairs personality puts at the last place that farther can result in her degradation, even losses of the professional skills purchased before, losses of health in the different aspects of this concept (Sobko R.M., 2013).

Scientific-pedagogical and methodological ensuring of e-learning inculcation should be direct to the learning content updating and curriculum subjects methodical support materials development, to active inculcation of the ICT in teaching practice and educational resources creation. Scientific and methodological ensuring of e-learning inculcation contains four work directs: organizational and methodical (scientific-methodological base, best teaching practices and student innovation datum, publishing), technological (collection and information processing, planning and conducting measures for e-learning), methodological (generalization, the teachers experience presentation and dissemination).

The scientific-pedagogical and methodical ensuring organization of e-learning inculcation should be based on content analysis of scientific and methodological potential of the collective, programmed and methodical ensuring of educational process. Scientific-methodical activity must proceed in the process of individual and collective creative search.

J. Rubianj, A. Mena, D. Sanchez noted that "It understood like an alternative to learn "at any time, any place and in any way", combines with individualized (or personal) learning ... Some important mobile learning properties are: increasing enrolment, broader student population, flexibility, facilitates equal opportunities for all, situated learning, negotiating knowledge, interaction, sharing, collaboration, communication between cultures, etc" (Rubianj J., Mena A., Sanchez D., 2014).

Kazakhstan's scientists intend to inculcate of "mobile learning" in the country (URL: zakon.kz). But they note that on their own mobile devices (tablets, gadgets and phones) is not quite a positive effect on the children eyesight. Education must adhere to the academic rules and requirements. Inculcation in the educational process of the tablet is a dual thing. Because we not all children with 100% vision. Still, the textbooks, the traditional understanding of education, are tools that should be maintained.

## **Conclusion**

Development of e-learning inculcation methodology is required for use of the information communication technologies possibilities.

Identified structural components of the e-learning inculcation methodology are the basis for practical work in this direction. Further e-

learning development can lead to components expansion. It is necessary to pay special attention to reducing of the negative consequences of youth hobbies by modern information technology.

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# RECAPTURING 'MARKETING' FROM THE 'MARKETISATION' OF HIGHER EDUCATION DISCOURSE

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## Abstract

Both 'marketing' and 'marketisation' are features of the UK Higher Education (HE) sector. Whilst there is a close and often symbiotic relationship between marketisation and marketing, they represent distinctive aspects of the HE managerial discourse. Nevertheless, they have become part of an indivisible vocabulary that habitually misunderstands these distinctive concepts. The aim of this paper is to recapture marketing from the marketization discourse and demonstrate its contribution as a valid ideological perspective in HE.

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**Keywords:** Marketing, marketisation, higher education, transactional marketing, relational marketing

## Introduction

Critics of marketing in higher education (HE) argue that a fundamental and inexorable conflict exists between the intrinsic purposes and values of education and what has been described as an increasing shift towards marketisation or corporatisation, that is treating HE as a commodity open to market forces with students as its primary customers (Bruce, 2006; Gibbs, 2001). Some have asserted that marketisation is an attack on the liberal structures and values that have enabled universities to flourish academically and intellectually (Smith, 1997; Pears, 2010). Others have maintained that the quality of HE, traditionally judged on the basis of inputs such as teaching and research excellence, are being undermined by the imposition of artificial benchmarks based purely on outputs and economic performance. Molesworth et al (2009) argue that the notion of a university as an agent for change, transforming the individual into someone who thinks critically has been replaced by focusing on the content students want at a market rate, decreasing intellectual complexity if this is not in demand, and increasing connections with the workplace if this is desired 'Once, under the guidance of the academic, the undergraduate had the potential to be

transformed, but in our consumer society such “transformation” is denied and “confirmation” of the student as consumer is favoured’ (ibid. p. 277). Lynch (2006) concurs with this analysis declaring that the university is being pressurised to transfer its allegiance from the academic to the operational and encoding the values of the commercial sector almost without reflection. Hooley (Australian Association for Research in Education, International Educational Research Conference: Establishing Professional Identity: Narrative as Curriculum, Sydney Australia, 27 November – 1 December 2005, pp. 2) even claimed that marketisation was an assault on the academic profession itself ‘Do teachers still see education as a public good, of personal and democratic importance in its own right regardless of the socio-economic background of students, or is education a critical component of material gain and individual, competitive advancement?’.

The bleak canvas painted by detractors implies the existence of a once superior and fairer epoch, an apotheosis where universities focussed on pursuing pure intellectual enquiry with appreciative and compliant students, and in which state intervention was primarily directed at providing financial support. But is this rose-tinted perspective an accurate and indeed desirable interpretation of higher education or merely visceral rhetoric fuelled by perceived disempowerment - a sort of professional bereavement, or perhaps simply a fear of change?

In this paper, it is argued that whilst there is a close and often symbiotic relationship between ‘marketisation’ and ‘marketing’, they nevertheless represent distinctive aspects of the HE managerial discourse yet have somehow become part of an indivisible vocabulary habitually misunderstood by universities. The aim of this paper is to recapture marketing from the marketisation discourse and demonstrate its contribution as a valid ideological perspective in HE.

## **I.**

### **Marketisation versus marketing....is there a difference and does it matter?**

Wikipedia defines marketisation as a process that enables state-owned enterprises to act like market-oriented firms through reduction of state subsidies, organisational restructuring, decentralisation and in some cases privatisation. These steps, it is argued, will lead to the creation of a functioning market system. Opponents of marketisation often cite deregulation under the Further and Higher Education Act 1992, as a defining moment in the transformation of UK HE from public interest institutions into consumer-oriented corporate networks, whose public interest values have been seriously challenged (Rutherford, 2005). What is clear is that the post 1992 deregulation of HE, coupled with the subsequent introduction of



student fees following publication of the Dearing Report and government policy aimed at encouraging increased participation inexorably set in motion the wheels of marketisation in UK higher education, a direction which seems destined to continue for the foreseeable future. Molesworth et al (2009) underline this perspective 'Given the latest government funding cuts, the most prevalent outlook in Higher Education today is one of business, forcing institutions to reassess the way they are managed and promoted to ensure maximum efficiency, sales and "profits". Students view the opportunity to gain a degree as a right, and a service which they have paid for, demanding a greater choice and a return on their investment'. (Preface)

In many ways, marketing is a by-product of marketisation, an inevitable consequence of managing rapidly increasing competition and shifting stakeholder demands effectively. Early definitions of marketing reveal a mainly transactional orientation, 'Marketing is the management process that identifies, anticipates and satisfies customer requirements profitably' (The Chartered Institute of Marketing), or, 'The process of planning and executing the conception, pricing, promotion, and distribution of goods, ideas, and services to create exchanges that satisfy individual and organisational goals' (American Marketing Association). Most practitioners were comfortable with this definition right up to the 1990's. However, rapid changes in technology, an increased awareness of customer synergies, and a greater understanding of lifetime value compelled new ways of regarding the discipline. Marketing guru Kotler (2009, pp. 4) describes marketing as 'a social process by which individuals and groups obtain what they need and want through creating and exchanging value with others'. The American Marketing Association also redefined marketing as 'An organisational function and a set of processes for creating, communicating, and delivering value to customers and for managing customer relationships in ways that benefit the organisation and its stakeholders'. Finally, marketing had been recognised as a social process in which a mutually beneficial relationship exists between consumer and supplier and both are collaborators in the co-creation of value. More importantly, this reconceptualisation provides relevance and acceptability in a traditionally sceptical environment.

The notion and application of marketing may be regarded as an emerging field within HE (Hemsley-Brown et al, 2006), but arguably has resided within the consciousness of universities for centuries. Long before a recognition of marketing's role in identifying the issues and implications of global competition (Conway et al, 1994; Allen et al, 1999; Mazzarol et al, 1999; Mok, 1999; Ford et al, 1999; Armstrong, 2001; Coates et al, 2003), social segmentation (Ball et al, 2002; Reay et al, 2002; Brookes, 2003; Farr, 2003), research into student choice (Foskett et al, 2001; Baldwin et al, 2000), institutional image and reputation (Nguyen et al, 2001) or the development

of market positioning (Binsardi et al, 2003), universities intuitively understood the importance of key marketing concepts such as branding for example, albeit this was not publicly or formally articulated. Coats of arms, mottos, logotypes, proprietary livery and colours, even uniforms, have and are still used, not just to aid corporate identification, but equally if not more significantly, as powerful subliminal symbols to confer perceived status. Similarly, the concept of brand is not confined to the organisational level; individually academics have also appreciated the benefits derived from nurturing an illustrious reputation. Yet, despite this exploitation of marketing (inadvertent or otherwise) it is frequently maligned, or misunderstood, by those same organisations or individuals (Delanty, 2002; Fuller, 2005; Grey, 2001; Prichard et al, 2003; Trowler 2002; Willmott, 2003).

Disentangling marketing from the marketisation discourse is a tricky business. There is considerable internal resistance to marketisation in UK HE, manifesting itself in negative attitudes and responses to the idea of marketing. Moreover, universities have failed to domesticate the marketing idea and make it into a home-grown philosophy (Gray, 1991) resulting in the application of alien ideas borrowed from the business sector. Finally, the apparent inability of HE to identify itself with a specific offering, epitomised in the battles between competing positions on research versus teaching and learning, has exacerbated doubts about the relevancy of marketing in the sector (Maringe, 2005). However, as this paper has revealed, whereas marketisation is a relatively recent and to an extent organic societal phenomenon, marketing is not just a set of techniques designed to improve corporate competitiveness but a philosophical framework guiding the institution in the development of its offering and its relationships with internal and external stakeholders. From this perspective it is clear that reconceptualising marketing is key to its successful long-term survival and recapture from the current marketisation in HE discourse.

### **Reconceptualising marketing in higher education**

Research undertaken on HE marketing in universities has identified that whilst senior executives value marketing, it is generally narrowly perceived as publicity or promotion and concepts such as relationship management, customer satisfaction and marketing research seldom feature in strategic discussions (Ivy, 2001; Maringe, 2005). In the majority of UK HE institutions responsibility for marketing is the domain of senior personnel yet often they do not possess relevant marketing qualifications. Similarly, few strategic university documents include marketing as an integral component, suggesting that it remains at the operational rather than the strategic level in the majority of institutions.

As previously discussed, a fundamental source of discontent is that marketing is regarded as a concept introduced from the commercial world or even an 'American' idea, and as such has limited significance within the UK HE sector. The prevailing perception and conceptualization of marketing in HE by and large echoes this notion of imported wisdom, consigning it to the margins of organisational policy and confirming its use as an effective response mechanism but not a key strategic tool.

Several marketing conceptualisations or orientations have been postulated and the extent to which institutions apply marketing practices is generally a reflection of their individual perspectives. A product led conceptualisation is one in which the institution develops its offering based on what it is good at doing, rather than necessarily what the student actually might want. This 'expert' model holds true for many UK universities driven by a desire to offer high quality and excellence. This approach can be seen in many research led institutions such as the Russell Group of universities for example. A production orientation is characterised by a primary concern for the creation of products and services e.g. courses. Institutions perceive the key challenge as developing and promoting these products and services in order to compete more effectively. This approach is often exemplified by newly emerging HE institutions, who typically also establish niches in specific subject areas or disciplines in a desire to become more competitive. A sales orientation focuses on the external promotion of the university and its offering. The emphasis is on managing image and reputation, providing information and maintaining applications through promotional activities such as external relations, advertising and even direct selling. Acknowledgement of this approach tends to be underplayed but yet is prevalent in the external activities of most institutions. A marketing orientation is an organisational philosophy that focuses on identifying and meeting the needs of its customers and believes success is most effectively achieved by satisfying these demands. In this respect it differs considerably from the other orientations discussed as it places the customer or student at the heart of decisions, making the institution more accountable. Initial research to identify student needs is a prerequisite in the development of courses and services as opposed to the 'take it or leave it' attitude characteristic of other approaches. Elements of a marketing orientation in HE are increasingly detectable at both institutional and national level e.g. graduate research initiatives and the National Student Survey. However, the wholesale application of this approach remains problematic as universities wrestle with whether students should even be seen as customers, whether HE should concern itself solely with delivering customer satisfaction at any cost without regard to what may be right or wrong, and whether embracing a customer centred focus will shift the balance of power from the educators to the

learners (Aaker et al, 1995). Nevertheless, institutions collectively and academics individually recognise and enthusiastically accept the need to satisfy external stakeholder demands (e.g. students, funders, business partners, government departments etc.) both as an ethical responsibility and as a business imperative. Presented and applied appropriately, this orientation may help reframe and reconceptualise marketing in an environment dominated by conservatism and apprehension. Two emerging orientations may also help reinforce a reconceptualisation of marketing in HE. A societal marketing orientation adopts the notion of ethical business and social responsibility, rejecting the idea of promoting products and services at any cost. Finally, a customised marketing orientation builds on the marketing philosophy of satisfying customers but treats them as individuals rather than homogeneous groups. This approach is likely to hold great appeal to HE as it would accommodate the idea of inclusion and differentiation simultaneously, in key areas such as individualised learning programmes and widening participation.

### **Applying a new marketing philosophy**

Having reconceptualised marketing, the institution must now find a way to determine the appropriateness of its orientation. 'Transactional' models based on market efficiencies and exchanges and 'Relational' models based on involvement and relationships have been identified by several authors (Gibbs, 2002; Li et al, 2000; Hemsley-Brown et al, 2006) and these are now considered further.

### **Transactional marketing model**

Conceptualised as a market, the primary role for HE institutions is the production of educational products and services for students in their defined target markets. The fundamental exchange at the core of this proposition is the acquisition of students and funding in return for products and services that increase the human capital of their customers (Gibbs, 2002). The underlying premise of this model is that HE is a commodity that can be managed through an exchange mechanism whose currency is purely transactional.

Typically the application of this transactional view of marketing is expressed through the deployment of a traditional 4 P's model of the marketing mix i.e. product; price; place; promotion. Each element is emphasised and adjusted to optimise efficacy of the exchange and maximise value to the institution. The product element may include considerations such as the range of courses offered, the diversification and development of new courses and the structure and methodology of current provision. It may also cover issues such as the physical infrastructure (e.g. facilities and

resources, use and maintenance of display areas, signage etc.) and branding (e.g. is it clear and consistently applied across all media?, does it reflect and reinforce core values?, does it enable prospective students to quickly identify the institution and differentiate from other competing providers?). The price element may include ideas around pricing structures and variances to reflect perceived competition or different target markets (e.g. undergraduates, postgraduates, international etc.), discounts and incentives to encourage increased applications or conversion, and ordering and application procedures. The place element may include strategies on the location and delivery of courses, how to increase accessibility and convenience (e.g. modularisation, online delivery, flexible timetabling etc.) and support systems such as enquiry handling and web support. The promotion element is generally regarded as the 'coal face' of the institutions marketing mix and accordingly given prominence strategically and in the allocation of resources. Typically, it will include considerations about how to position the institution and make use of traditional publicity, mailing, public relations, events, branding, online marketing, advertising and sponsorship.

The 4 P's marketing mix dominates current marketing approaches within HE institutions and with its organisational focus and simple and easy to implement solutions it is not difficult to understand why it has gained such widespread acceptance. However, the four P's represent what Kotler (2009) describes as the 'seller's' view of marketing tools. In other words it focuses on what the organisation wants to produce, how it wants to price its offering, where and how it chooses to deliver its products and services, and to whom and with what means it chooses to convey information. Given the resistance to the marketisation agenda discussed previously, it is clear that universities do not view HE as a market commodity but rather a learning community in which their role is to act as agents of transformation. It is little wonder then that many academics have shunned the concept of the 4 P's marketing mix and its negative connotations associated with a product orientated commercial world. The application of marketing in HE therefore seems best built on relationships in which the institution assumes a shared responsibility alongside their learners for the choices and transitions they both make (Gibbs, 2002).

### **Relational marketing model**

Conceptualised as a community in which both the organisations and its customers co-create mutually beneficial value, the HE institution seeks to develop deep relationships where the deployment of organisational capabilities and resources proactively embrace the notion of supporting the widest constitution of learners. This humanistic approach to marketing is founded on the premise that the purpose of the institution is to advance the

interests of both human experience and human capital. According to Gibbs (2002 pp. 329) 'This differs from any neo-liberal definitions of markets and its derivative marketing in that learners' interests are satisfied even to the disadvantage (in the financial sense) of the institution. This notion of a community rather than a market would not commoditise the learning experience but celebrate it as essential to humanity'.

The 4 C's, a reinterpretation of the traditional 4 P's marketing mix, has been suggested by Bruner (1988) and later Lauterborn (1990), as a means of applying the relational marketing perspective. Product becomes customer solution, customer value or concept; place is replaced by convenience or channel; price is cost; while promotion becomes communication. The customer solution element focuses on the underlying needs and aspirations of students and other stakeholders (including the institution itself) in order to identify how to create value across the whole learning and research community. The cost element recognises that the monetary price is only one part of the cost to satisfy and aims to understand the full cost of consuming the institutions' products and services in terms of time, effort and even individual conscience. The convenience element turns the conventional view of location and distribution on its head and reframes this in terms of issues such as accessibility, user-friendliness and flexibility. The advent of the Internet has revolutionised traditional supply chains and universities are certainly familiar with idea such as e-learning and podcast lectures etc. The communication element rejects the notion of manipulative one way promotion in favour of shared and interactive two way dialogue and proactively listening to students and other stakeholders.

In an effort to create greater relevance to the HE context, Newman et al (2009) have extended the 4 C's marketing mix model further by including three additional elements: Calibre (or Champions); Capabilities; Charisma (or Collateral). Calibre refers to people and maintains that the quality of an institutions staff plays a major role in attracting and retaining students. Capabilities refers to processes and suggests that institutional practices and procedures, exemplified by things such as good communications, ease of accessibility and the involvement of students in the institutions' marketing, can build a significant competitive advantage. Charisma refers to physical evidence and is the visual representation of the institution as well as its tangible manifestation in buildings, facilities and amenities. Corporate identity and brand can be seen to represent an important part of the institutions charisma or collateral but in order to gain genuine credence this needs to extend beyond the use of a logo and corporate strapline and be part of its inherent values, or what Newman et al (2009 pp. 6) describe as a 'value foundation'.

The 4 C's model of the marketing mix reflects a student oriented marketing philosophy, providing an enduring reminder of the need to focus on long-term relationship building in order to create mutual value. In terms of reconceptualising marketing in HE, one of its distinctive and desirable features is not only putting the student at the centre of marketing decisions but involving them as part of the process itself, Kotler (2009) describes this as the 'buyer's' view of marketing tools.

### **Can a relational marketing model work in practice?**

In 2003 US researchers investigated whether there were benefits for universities in adopting a relational marketing model (Arnett et al, 2003). They examined the nature of the exchange relationship in higher education for individual students, and argued that for HE marketers, encouraging students to be actively involved in school activities and improving or maintaining a level of university prestige encouraged the formation and development of a university identity, which in turn encouraged students to engage in supportive behaviours in the future. Relationship marketing was considered to be a viable strategy but success required a focus on the social benefits of participation in HE such as emotional satisfaction, spiritual values and the sharing of humanitarian ideals and not just the economic rewards that may subsequently accrue as a result of obtaining qualifications. Similarly, Binsardi et al (2003) demonstrated strong support for applying the relationship marketing approach based on a comprehensive literature analysis which linked relationship marketing to the marketing of services. Hemsley-Brown et al (2006 pp. 329) also recognised the compatibility of a relational model with the nature of the HE services because 'It is an approach that promotes the involvement of students in the marketing and image-building of their institutions'.

The research highlighted certainly indicates that there is widespread institutional support and willingness to adopt a relational based marketing model, suggesting success in its practical implementation. However, whilst support for the relational model amongst theorists appears to be consistent, Gibbs (2002) argues that the complexity of the education product, the economic role of HE institutions and the current pressure to perform financially may inhibit the notion of relationship marketing and need to be considered before a reconceptualisation of HE marketing can occur. Gibbs describes three 'pillars' that support the notion of relationship marketing in HE i.e. learners' temporality, 'existential trust' and self-confidence, which are now critically examined.

Temporality - the perception and experience of learning is based on a future goal that extends beyond the present and therefore institutions need to go beyond normal temporal horizons. Gibbs proposes that an understanding

of the preferences and successes of learners in formal learning would offer an insight into both the phenomenology of the learner's own temporality and that embedded in the product or educational service being experienced. To develop a better understanding of students long term goals and attempt to harmonise these with those of the institution firmly resonates with the relationship concept of placing the student at the heart of decision making, however, it seems ironic that Gibbs is openly critical of the economic market philosophy in favour of a more humanistic approach yet surely a key objective for most students in HE is the currency it provides in terms of future employability.

Existential trust - Gibbs claims that the marketing of education has to provide the confidence that trust can be invested in teachers and their institutions to face learners' futures yet to be known or articulated, a trust built on mutual respect, empathy and compassion. Again, the notion of mutuality dovetails neatly with the relational model but the idea of students investing unquestioning confidence in their institution smacks of an archaic view that the institution knows best.

Learner self-confidence - Gibbs (2002 pp. 332) describes this as '... best achieved through the application of practical reason to establish what is feasible for one-self given the potentialities and competencies one has'. An understanding of students' self-confidence in relation to learning is clearly an important component in a relationship based model but, is only one element of something far more complex and multi-faceted, difficult to distil in terms of the practical application of marketing, and to focus on a single aspect may detract from other issues of greater significance within the relationship model.

Gibbs (2002 pp. 333) offers the marketer a useful insight into the nature of relationships and is right to suggest that marketing HE is 'best undertaken within a model of collaborative relationships whose vision is of a humanistic process of change not a transactional market'. However, marketers must also reflect issues of institutional background, the nature of the manpower base and the available resources (Gray, 1991). To this extent, HE marketing also needs to base itself in practicality and achievability if it is to succeed in repairing a damaged reputation. It is the author's view that the successful application of a relational model lies in the individual institutions' ability to domesticate the reconceptualised marketing philosophy as discussed earlier in this paper. The institution should reject any notion of slavishly following marketing practices designed for business organisations or reproducing the position and strategy of competing institutions, in favour of pursuing its own unique mission. Key requirements to support a developing marketing orientation include the creation of a distinct professional marketing structure, the introduction of robust communication



systems, the systematic collection of marketing information through research, the support of senior management, the propagation of internal marketing to garner collaboration and understanding from colleagues across the organisation, and the involvement of students and other stakeholders in marketing particularly in relation to brand building and reputation management.

The idea of domesticating the marketing into the strategic focus of HE is however further threatened by a failure within universities to identify with their real core product. This is largely manifested by the debate whether universities should be research or teaching focused.

## **Conclusion**

Like it or not, marketisation is now a feature of UK higher education and will continue to polarise opinions and stir emotions. However, regardless of position on the debate, the unprecedented expansion of the sector over the past 20 years has brought about significant benefits to the entire learning community. In 1994 there were around 1.4M students participating in higher education, according to the most recent figures released by the Higher Education Funding Council this now stands at 2.5M, a staggering increase of almost 80%. Widening participation and diversity are also key features of this expansion. There are more students from state schools than ever before, a greater number of international students, greater cultural diversity in the home student population, more disabled students and the largest number of mature students than at any other time. This phenomenal growth has also resulted in massive investment programmes to support teaching and learning and develop the physical infrastructure. The range and variety of course provision is unrecognisable from a generation ago, choice was often limited to a relatively few well known academic or vocational subjects. 20 years ago it was unthinkable to have done a degree in Popular Music Studies (Liverpool), Hairdressing Salon Management (Derby), Fashion and Lifestyle Products (Southampton Solent), Watersports Science and Development (Portsmouth), Contemporary Circus and Physical Performance (Bath Spa), Surf Science and Technology (Plymouth) or Puppetry (Central School of Speech and Drama, London). And it's not just post-92 institutions who have exploited these new market conditions, Russell Group universities have also actively developed new courses such as Folk and Traditional Music (Newcastle), Profound and Complex Learning Disability (Manchester), Motor Sports Engineering Management (Sheffield) and Viking Studies (Nottingham). Seen like this, marketisation appears to have enabled new channels of intellectual enquiry and research rather than restrict academic freedoms and interests. A critical discourse on the marketisation of HE is desirable and essential in questioning the intrinsic nature and purposes of

education, however juxtaposing the arguments in opposition to marketization against the realities of some its outcomes as outlined seems tinged with a degree of irony. For example, the dismantling of elitism, so prevalent in HE, especially prior to 1992 (Woodrow, 1998), is surely a universal aim for higher education. According to staunch opponent of marketisation, Lynch (2006 pp. 12) 'As Europe has become increasingly dependent on higher education to drive the social, political, cultural and economic infrastructure of society, access to higher education is increasingly becoming a prerequisite for survival. We need to challenge the neo-liberal agenda in education, not least because higher education is increasingly a necessity for the majority rather than a privilege for the few'.

Marketing in HE is still a relatively underdeveloped concept. Its strategic importance within HE has been widely acknowledged by Vice Chancellors and senior personnel but not matched by occupying a place at the strategic table within most institutions or becoming fully embedded within their strategic vision and operations. The potential contribution of marketing to the strategic agenda in HE is significant, it is about extending and defining choice, more accurately meeting the needs of stakeholders and enhancing quality in provision. From this perspective, marketing can be seen as expansive, innovative and responsive, not reductionist or intransigent. However, the prevailing view of marketing is narrow and dominated by a belief that it is based on imported ideas from the business world and whose fundamental purposes are to increase demand, beat the competition and achieve economic goals. Moreover, an emphasis on promotion and external relations activities remains dominant at key levels of university administration. Set against this background, marketing has become inextricably entangled within the marketisation discourse, encountering internal resistance and negative responses towards the concept of marketing.

Recapturing the relevance of marketing from the marketisation in HE discourse will largely depend on two key foundations: reconceptualising the marketing philosophy; and domesticating the concept of marketing at an institutional level. If marketing can drive the institutions' agenda to build a learning community based on long-term relationships, open communication, and the co-creation of mutual value, it can justly assume its place at the strategic table.

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# AUDITING AND STATISTICS– INTERDISCIPLINARY TEACHING CONCEPT

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## Abstract

This paper explores educational aspects of teaching statistics to auditors and controllers. It specifically focuses on employing certain methods of statistical inference in auditing, predominantly from the viewpoint of illuminating the relevant fields of statistics to university students of auditing. Key sections of this paper deal with teaching confidence intervals and Benford's Law to auditors.

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**Keywords:** Sampling methods in auditing, education aspects of statistical inference, confidence intervals, Benford's Law

## Introduction

Links between statistics and other sciences have been a frequent topic of research, discussions and practical applications<sup>1</sup>. In other words, it is an interdisciplinary area. Combinations of different disciplines must, of course, be reflected in teaching statistics within different fields of study. The authors of this paper have extensive experience with teaching statistics in a number of economic universities. That is why they would like to point out in this paper the interdisciplinary combination of statistics and auditing, that is, one specific area of teaching statistics to non-statisticians.

The key aspect of teaching statistics to students in non-statistical fields of study at universities focused on economics, all over the world, endeavours to show when and how statistical procedures are used in the area of economics in a realistic and plausible way. However, what we can in reality often see demonstrated to students is a range of artificial pseudo-applications, which usually have very little in common with the economic practice. Such pseudo-applications, logically, raise students' doubts and stand in the way of popularising statistics to the general public. Hence all educators of statistics at universities must be very careful in choosing their

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<sup>1</sup> Cf., e.g., Gattuso (2011), Hernandez (2006), and Hindls, Hronová (2015)

examples. They have to be consistent in seeking a real interdisciplinary intersection between statistics and practical economic areas.<sup>2</sup>

Several reasons can be identified that lead to the above-mentioned application problems in teaching statistics to students in non-statistical economic fields<sup>3</sup>:

- In teaching, technical aspects of statistical techniques are preferred to examples of their real applications; the teacher must, of course, explain the methodological substance of the statistical procedures, but a reasonable proportion of theory with respect to real examples is also very important;
- In many instances, teachers themselves are not sure that their examples are realistic even though they present them as such to students;
- Sometimes teachers may not have enough experience with the application they teach, unless they have hands-on practical knowledge based on work in corporate or state-administration areas;
- The educational environment excessively emphasizes the computational aspects of the statistical procedures in question (usually comfortably solved with the aid of statistical software packages);
- Teachers insufficiently point out the pitfalls hidden in the contents and interpretation of economic indices, or belittle methodological problems related to the occurrence of economic indices in corporations, state administration, etc.;
- Possibilities implied by statistical conclusions for decision-making processes by managements are overestimated ("statistics does not control the world, it only shows how it is controlled" – Karl Pearson<sup>4</sup>).

However, the real world provides us with a number of real areas in which statistics is necessary. There are even areas in which statistics cannot be replaced with anything else. Such areas, among others, include auditing or statistical quality control. In particular, we have in mind here sampling in audits, or Benford's Law. A combination of statistics and auditing is convincing proof of mutual interdisciplinary links between two different areas. This combination can and must also be shown in teaching. The authors of this text have long years of experience with teaching statistics to auditors and controllers not only in the Czech Republic but also abroad.

### **Interval estimates and auditors' requirements**

Statistical tools and methods used in auditing and controlling are not complicated and are included in the primary toolbox obtained in the basic courses of statistics at economic faculties. However, errors encountered in

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<sup>2</sup> "Like other professionals, teachers need to know statistical content, but they also need to know pedagogical strategies for helping others learn statistics." Groth (2013).

<sup>3</sup> A more detailed treatment of this kind of issues can be found in Hindls, Hronová (2015).

<sup>4</sup> Cf. Hebák, Hindls (1990)



the teaching of those basic courses<sup>5</sup> are reflected in the level of students' (lack of) preparedness to cope with statistical applications in auditing. Namely, we have in mind utilisation of statistical inference and probability calculus in the sampling methods within auditing and controlling.

Auditing and controlling cannot make do without such sampling methods. However, in teaching auditors, the lack of knowledge that should have been obtained in the basic courses of statistics comes to light. Experience shows that a few simple principles must be applied when teaching auditors:

- Consistently – from the very beginning – explain the vital character of such statistical procedures in that part of audit in which sampling takes place. In particular for large sets of accounting items and in situations in which internal checks and reliability tests (such as of software) in the accounting systems are insufficient;

- Carefully – while briefly and only from the practical viewpoint – recall binomial (or Bernoulli), Poisson and normal (Gauss-Laplace) probability distributions;

- Treat responsibly explanations of confidence intervals. A simplification based on a sufficiently large size  $n$  of the sample is fully sufficient here (numbers of items in the accounting records ensure fulfilment of this assumption as a matter of course). Estimates of merely two parameters may be focused on in teaching, namely:

- The ratio  $\square$  of items with a given property within the whole (in auditing, e.g., the proportion of defective items out of all may be considered, etc.);

- The mean value  $\square$  of normal distribution (in a sampling audit it represents an estimate of the limit for the total error of the account balance, etc., for which it is necessary to estimate the average error per document) while the variance is unknown (the latter may be determined as a sampling characteristic from the sample of the accounting times to be checked, such as documents);

- In conclusions of the teaching, a brief overview of testing statistical hypotheses should be recalled as it will be needed in explaining Benford's Law;

- In education environments, as far as practical, no software support should be utilised, even though the contemporary accounting and auditing software (such as IDEA, DATEV, etc.) of course provide us with an option to use it. On the one hand, there is not enough time to use software when teaching the basic principles of sampling methods; and on the other hand it is premature and even superfluous from the educational point of view. Students

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<sup>5</sup> More detailed information about this problem can be found in Ziliak, McCloskey (2009).

will certainly find their own ways to use the software in the future, in their own work.

The key statistical tool for sampling methods in auditing is represented by interval estimates. The course for auditors is not a direct continuation of the basic (general) course of statistics of students at economic faculties (the time separating them may be several semesters, depending on the accounting and auditing curriculum); the methodology of confidence intervals has to be briefly reinforced. This must include directly linking these concepts with auditing and controlling aspects from the very beginning of the course for auditors. An ideal bridge here is based on risk matrices in auditing (there are two such matrices and we describe them below).

From there a natural step-by-step way leads to confidence intervals. In particular, the width of a confidence interval is worth explaining, as well as its relationship to the sampling size and the selected level of confidence (which may be rather low in auditing, say, even smaller than 80% to 90%, see the explanations below).

All of the things mentioned above must necessarily be accompanied by realistic examples from the auditing and controlling practice in corporations with actual data from corporate accounting (or data from technical inspections in manufacturing companies, etc.).

When the notion of risk in statistical inference (i.e., risk control area) is explained, certain problems arise. Naturally, that notion is necessary for constructing the above-mentioned confidence intervals for the parameter  $\pi$  of the binomial (Bernoulli) distribution, or for the parameter  $\sigma$  of the normal distribution.

The problems can be successfully overcome with the aid of the risk matrices. The teacher should adequately focus on such matrices. There are two such matrices: the matrix of confidence tests, and that of factual correctness. On those matrices we can show not only the general phenomenon of risks in auditing and controlling, but also the relationships of those matrices to estimating parameters  $\pi$  (related to the confidence test matrix, in which the risk of the error of the first kind represents the risk of apparently low confidence of the accounting system), or  $\sigma$  (related to the matrix of factual correctness based on the estimating deviations of the account balance).

However, the teaching should also point out another specific feature of the use of statistical estimates in auditing and controlling. As a matter of fact, auditing methodology allows for choosing lower levels of confidence  $\alpha$  (in other words, a higher value of risk  $\pi$  in constructing the confidence intervals). It must be explained to students very carefully why

this is possible. Reasons<sup>6</sup> for choosing lower confidence levels in auditing are purely practical and therefore easy to grasp for students of auditing and controlling, who already have sufficient knowledge of those subjects. Practice in auditing and consulting companies moreover shows that the sizes of samples, say, accounting documents, are usually quite small. Typically there are tens (not hundreds) of documents. This is also related to the price of the audit and the deadlines within which the closing financial statements must be audited in corporations. At that stage of their curriculum, students are very well aware of such circumstances because they are knowledgeable in general aspects of accounting and auditing. Therefore there is no need to waste time on extensively explaining those aspects.

From there the way to explaining admissible error  $\square$  is more or less direct in the process of educating. For the purposes of auditing, however, it is necessary to consistently and carefully distinguish between both- and one-sided confidence intervals (the one-sided may be left-hand- or right-hand-sided, depending on the factual substance of the respective problem). All of the above must be thoroughly illustrated on realistic examples from accounting, auditing and controlling practice.

At this point we can finally come to the determination of the necessary (required minimum) sampling size  $n$ . Both students and run-of-the-mill practitioners are enormously interested in this value. But its explanation in the education process should never be made too hastily. Experience shows that this information should only be revealed to students when they have acquired the knack of the confidence intervals and risk treatment (with the aid of the risk matrices).

So, how many, say, accounting items (documents) have to be chosen? Here we again must be consistent in distinguishing between both- and one-sided (left-hand- or right-hand-sided) confidence intervals. Demonstrations of procedures employed in large audits are suitable at this stage of teaching. They will enhance the importance of similar considerations in students' heads.

In the conclusion of the course, sufficient time should be given to examples from the auditors' practice. Systematic exercise (of case studies with accounting data) will not only create good skills but also consolidate the

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<sup>6</sup> There are three such reasons from the viewpoint of practice, and they are specific for auditing: 1) sampling methods may be considered a complementary tool in auditing; 2) the audit of a company is usually carried out by the same accounting firm for several consecutive years, and the risk is thus reduced on the basis of the auditors' experience with and knowledge of the company to be audited; 3) error variability in accounting and information systems tends to be small to very small, thus reducing the risk of an erroneous conclusion by the auditor.

acquired knowledge. Let us once again emphasize that all examples must be realistic<sup>7</sup>!

One more point is important and should be openly communicated to students: the sampling method is just a complementary method for auditors. In other words, the teacher must repeatedly emphasize that the importance of sampling methods must not be overestimated! Audit as such has pre-set accounting and controlling procedures that are the pivots on which the auditor's statement is based, while sampling methods have complementary or even indicative significance.

### **Benford's Law**

Benford's Law (sometimes also called Benford's Test) is a well-known mathematical law (alternatively the *First-Digit Law*, FD, of which there are nine, or *First-Two-Digit Law*, FTD, of which there are ten). It claims that in certain collections of naturally arising data the first digits are one, two, etc., more often than seven, eight or nine. In other words, the higher the first digit, the less frequently it occurs. The first digits do not occur with relative frequencies of  $1:9 = 11.11\%$ , which would correspond to the uniform distribution, but are governed by Benford's Law. See Kossovsky (2015) or Mullerová, Králíček (2014) for more details.

Benford's Law is said to often hold for data in the area of natural sciences, but it is also claimed to hold for data coming from economics. Collections of numbers obeying Benford's Law may be, for example, river lengths, but also amounts written on receipts, share prices at stock exchanges, data on national accounts, etc.

Using in audits sampling methods for accounting documents and subsequently confidence intervals may, to a certain extent, play an indicative role. So may Benford's Law, which has been becoming more and more popular recently. Here we want to pause briefly. Not so much regarding the implementation of the Law (there is enough special literature to this end), but rather concerning evaluation and interpretation.

First of all, one comment should be made. While a number of authors take Benford's Law with reservations, many others use the Law or, at least, believe in its usefulness. Positions of both groups should be openly disclosed to students, using realistic examples from economic areas (we should be ready and have such examples at our disposal). Such examples need not be coming from corporate accounting but, say, from national accounts and macroeconomic aggregates, as seen in some EU member countries in recent years.

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<sup>7</sup>The necessity to use realistic examples in teaching statistics to non-statisticians is pointed out, among other places, in Hernandez (2006) or Hindls, Hronová (2015).

Having taught Benford's Law to our students and evaluated the obtained results (students quickly cope with the technical aspects of Benford's Law and are often intrigued), there is one more educational challenge: how to test and illuminate the meaning of the calculated statistics. Two options – both explained below – are available to us. They are both correct from the viewpoint of statistics, but they may differ in their interpretations by auditors. The main core lies in the testing procedure.

Whichever option we prefer, it is useful to first briefly recall to students the methodology of testing statistical hypotheses. We can assume that the "initial" knowledge our students have about testing hypotheses is about the same as the above-mentioned "initial" knowledge about interval estimates.

Then we can explain the principles (and the history, which is of an independent interest) of Benford's Law<sup>8</sup>. It is quite useful to let students count *first digits* FD or *first two digits* FTD in a small example and complete the test only afterwards. Here it is very educational to forego the aid of software and try to work in the "pen-and-paper" system.

As soon as students cope with the technicalities of Benford's Law and learn how to run calculations and tests, both options for evaluation should be demonstrated to them. Here they are:

1.  $\chi^2$  – goodness-of-fit test based on the statistic:

$$G = N \sum_{d=1}^9 \frac{(p_d - \pi_d)^2}{\pi_d} \approx \chi^2_{1-\alpha}[8],$$

2. Z-test, based on the statistic:

$$Z_d = \frac{\sqrt{N} \left( |p_d - \pi_d| - \frac{1}{2N} \right)}{\sqrt{\pi_d(1 - \pi_d)}},$$

where

$p_d$  are relative frequencies of occurrence for the *first digit* FD or the *first two digits* FTD, where  $\pi_d$  are probabilities of occurrence for FD or FTD according to Benford's Law,  $N$  is the number of sums in question (e.g., times written on accounting documents), and  $\chi^2_{1-\alpha}[8]$  is the relevant  $(1 - \alpha)\%$  quantile of the  $\chi^2$  distribution.

Even though both tests intuitively lead to similar conclusions, there is a difference between them regarding the auditors' practical needs. This difference should be explained to the students. It should be left to their

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<sup>8</sup> Cf., e.g., Benford (1938), and Kossovsky (2015).

decision which option they will take (unless rejecting Benford's Law as a whole – some auditors take that stand).

The said difference is based on the fact that the first approach ( $G$ -statistic) is a comprehensive assessment of Benford's Law validity for a given set of *First Digits* or *First Two Digits* taken from accounting documents. The particular digit for which the deviation from Benford's Law is the highest must be looked up among values

$$\frac{(p_d - \pi_d)^2}{\pi_d}, d = 1, 2, \dots, 9, \text{ or } d = 0, 1, \dots, 9.$$

Moreover, it is not a test of a statistical hypothesis "in the strict sense". In the auditors' practice the set in question will not, as a rule, be a sample from *First Digits* but rather the set of all *First Digits*, that is, first digits extracted from all accounting documents. Generally, it is no problem for the auditor to have the software extract all *first digits* of amounts written on documents. No sampling therefore takes place, and all documents are processed (hence we use symbol  $N$  in teaching, denoting the number of units of the whole population, not symbol  $n$ , traditionally used for the size of the sample).

The second approach ( $Z_d$ -statistic) evaluates the deviation for each individual *First Digit* independently, and it is immediately obvious which first digits do or do not comply with Benford's Law. The same principles apply if the entire procedure is utilised for checking the compliance of real accounting data with Benford's Law for the *First Two Digits* FTD. This approach should be introduced to the students as the more suitable option that leads more quickly to the objective, i.e., testing according to Benford's Law.

## Conclusion

Teaching statistical methods for auditing meets a favourable response from students. More favourable than that we encounter in basic courses of statistics at economic universities. This outcome is given by students' seeing specific utilisation of statistical techniques, but also by their realisation that they cannot avoid such techniques in auditing practice or replace them with anything else. Examples taken from auditors' practice assure students that the techniques are not artificial and can help them in real life situations. They perceive this approach as an interdisciplinary area between statistics and auditing. Another recommended element is inviting an auditor as a guest teacher. They can provide another assurance that such statistical techniques are really used and that students do not learn them in vain.

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# A THREE STEP B2B SALES MODEL BASED ON SATISFACTION JUDGMENTS

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## Abstract

This paper aims to provide a coherent, detailed and integrative understanding of the mental processes (i.e. dimensions) that industrial buyers apply when forming satisfaction judgments in adjacent to new task buying situations. A qualitative inductive research strategy is utilized in this study. The insights produces can be applied for selling companies to craft close collaborative customer relationships in a systematic and efficient way. The process of building customer relationships will be guided through actions that yields higher satisfaction judgments leading to loyal customers and finally to increase in sales and profitability. The specific nature of the developed insight will further make it difficult for competitors' to copy. Thus, processing the guidelines offered by the proposed typology in a successful manner will have the potential to create unique competitive advantages form the selling companies' perspective. The buying center members applied satisfaction dimension when forming satisfaction judgments. Moreover, the focus and importance of the identified satisfaction dimensions fluctuated pending on the phase of the buying process. Based on the findings a three step sales model is proposed comprising of 1. Identification of the satisfaction dimensions the buying center members apply in the buying process. 2. Identification of the fluctuation in importance of the satisfaction dimensions and finally 3. Identification of the degree of expectations' adjacent to the identified satisfaction dimensions.

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**Keywords:** Customer satisfaction, loyalty, profitability, buying center, B2B marketing, case study

## Introduction

Satisfaction is important for marketers because it is assumed that satisfied customers lead to, rebuy and loyalty. It is thus widely accepted in the body of research that satisfaction is an antecedent for competitive advantage, growth in sales, increase in customer loyalty, and stable and lasting profitability. These positive consequences of satisfaction have



empirical support in several studies, for example (Anderson, 1994; Ralston, 1996; Zeithalm et al., 1996) established that satisfaction leads to increased buying intentions. Bolton (1998) demonstrated that increased satisfaction, further, leads to actual rebuy. Furthermore, Anderson et al., (1994) demonstrated, on a firm analytical level, a positive relationship between an increase in satisfaction and profitability. Keiningham et al. (2005) demonstrated that satisfaction and profitability were positively mediated by share-of-wallet and revenue in some situations. Even though there has been a long and intense interest for the satisfaction phenomenon most of the research has departed from a positivistic posture. As noted by Layder (1993), this paradigmatic posture relies on quantitative and experimental techniques to deductively test hypotheses that depart from theory. Albeit, exceptions exist, for example Fournier and Mick (1999), used as qualitative research design to study satisfaction in a business to consumer context yielding more thick, context dependent and holistic findings. More specifically, they suggested and sustained the claim, that the dominant satisfaction model, namely the historically dominant comparison standards paradigm (CS) is insufficient or even irrelevant in some consumer cases (Fournier and Mick, 1999). Furthermore, the development of the CS paradigm departs from a business to consumer (B2C) context, as opposed to a business to business (B2B) context. The latter context surrounded by rather different premises and a conceptual atmosphere that could open up for other methodological approaches and to some extent paradigmatic postures. Applying the generic classification scheme proposed by Grünbaum and Stenger (2013) to dissected the body of literature in a given field, it can be realized that the dominant tendency in satisfaction research is to adopt the same paradigmatic posture (i.e. a positivistic), the same satisfaction formation model (i.e. the disconfirmation of expectations), and often a high degree of similarity in generic research topics). Table 1 below illuminates the classification schema proposed by Grünbaum and Stenger (2013: 71).

Table 1 – Paradigmatic Classification Schema

<b>Paradigm (basic believe system)</b>
<b>Ontology: <i>The nature of reality, i.e. what is reality?</i></b>
(a) Axioms, (constructivism versus realism)
(b) Focus of research (qualitative versus quantitative)
(c) Quality standards (subjectivity versus objectivity)
<b>Epistemology: <i>How do researchers (i.e. particular group) comprehend reality?</i></b>
(d) Research design (Evolving emergent versus structured)
(e) Goal of investigation (understanding versus prediction)
<b>Methodology: <i>How do we retrieve knowledge?</i></b>
(f) Data (word, pictures, movies versus numbers)
(g) Data collecting (interview, observation, documents versus experiment, surveys)
(h) Analysis (inductive, expand or construct theory versus deductive, test of theory)
(i) Findings (holistic, thick versus precise narrow)

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**Symbols used to classify literature:**

- Adjacent to a constructivist posture
  - Adjacent to a positivist posture
  - Adjacent to a neo positivist posture
  - ♦ Not addressed in study / paper
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Up till now the processes of forming satisfaction in a B2B context seen from a holistic perspective where the social atmosphere is perceived to play an imperative role, is under-researched. This paper aims to fill this gap. Thus, the aim is to create a coherent holistic understanding of B2B satisfaction formation based on a multi case study approach. More specifically, how do buying members evaluated their degree of satisfaction? How can the formation process of satisfaction be understood? The claims in this introducing section are vindicated in the literature section below. Hereafter follows an elaboration of the paradigmatic posture and methodology (i.e. data collection and analysis) that is applied in the study. Subsequently, findings is presented and discussed. Finally, conclusions, managerial and theoretical implications and suggestions for further research are outlined.

## **Literature review**

There has been a constant and intense focus on varies aspects of satisfaction during the last some 40 years (se for example, Cardozo, 1965; Howard & Sheth, 1969; Locke, 1969; Smith el al., 1969). Thus a steady stream of research has been published in this area. A literature review reveals the following tendencies. First, a mainly positivistic paradigmatic perspective has dominated the satisfaction research. This is illustrated by a meta-analysis by Szymansi and Henard (2001) based on the last approximately last 30 years' of satisfaction research. They were focusing on 517 correlation coefficients from 50 satisfaction studies. The study illustrated that the main part of research was concentrated on antecedents for satisfaction; only 5% focused on consequences of satisfaction (se e.g. Bearden and Teel, 1983; Oliver and swan, 1989; Paulsen and Birk, 2007; Homburg et al., 2003). More interesting, the main part of the 5% research on consequences was on an industrial context (see e.g. Anderson and Sullivan, 1993; Anderson et al., 1994; Paulsen and Birk, 2007). Studies related to satisfaction undertaken after 2001 still demonstrate the same tendency toward departing from a positivistic paradigmatic posture. Eggert and Ulaga (2002:11), for example, applied a survey method, with a randomized sample of 960 purchasing managers. Muhmin, (2000: 642) in similar vein, applied a survey method, 450 questionnaires were distributed resulting in a response rate of 27 percent. Keining et al., (2005: 175) applied data generated via

telephone interviewing to test several regression models. Hung & Lin, (2013) and Austen et al., (2012) also used a survey method.

Second, focus has mostly been on antecedents of satisfaction and only to a limited extent consequence of satisfaction. In addition, antecedent orientated research mainly with point of departure in a consumer context has dominated the satisfaction research (Muhmin, 2002; Swan and Trawick, 1993).

Third, focus has mostly been dominated by the disconfirmation of expectations paradigm and also found support in numerous studies (oliver, 1980: 461; Churchill and Surprenant, 1982: 491; Yi, 1990; Singh and Widing, 1991: 31; Spreng et al., 1996:15; Patterson et al., 1997:5; Fournier and Mick, 1990:5; Eggert and Ulaga, 2002: 108). According to the comparison standards (CS) paradigm the formation of satisfaction/dissatisfaction is a result of a process where consumers compare internal cognitive based standards with actual perceived product performance. If there is a discrepancy between pre-buy expectations and perceived received after-buy performance, the consumer can either be satisfied or dissatisfied. If no disparity is experienced the consumer will merely be neutral. Despite the above mentioned empirical support for the CS paradigm critiques also exist (Iacobucci et al., 1995; Yi, 1990).

Summing up, satisfaction research has primarily concentrated on a. the antecedents of satisfaction, b. the extent of satisfaction, c. determination of causal relationships in an a priori satisfaction construction model, and d. quantitative methodological aspects (i.e. validity measurement problems). Thus, the process of forming satisfaction and the social atmosphere is often treated as a 'black box'. The three above mentioned characteristics, namely, a. paradigm rigidity (i.e. ontology), b. consumer context and c. domination of the CS paradigm imply a need for satisfaction studies from other paradigmatic (i.e. ontology) positions that could be more commensurable with business to business characteristics.

Despite valuable insights produces by the historical positivistic dominated perspective, it is for example not appropriated a priori to determine what makes buyers satisfied when applying qualitative paradigmatic lenses. Furthermore, applying an inductively approach to learn more about the system that actually make industrial buyers satisfied has not yet been pursued in previous studies. In addition, there is also a need for a more thorough understanding of the satisfaction phenomenon with point of departure in a B2B context. The B2B context differs from a consumer context (B2C) on a string of important dimensions, where the latter primarily has served as a pivotal point when creating new knowledge about different aspects of the satisfaction phenomenon. To mention some these dissimilarities, industrial actors have, for example, other buying motives,

another buying behavior, possesses other buying motives and values. Moreover, they experience more pressure and importance in a novel buying situation and the consequences are vital for both the buying center, the buying organization and for the selling center and selling organization (Webster & Wind, 1972; Sheth, 1973; Robinson et al., 1967; Bunn, 1993; Yang et al., 2011). Based on the literature review, this paper aims to provide a coherent, detailed and integrative understanding of the mental processes (i.e. dimensions) that industrial buyers apply when forming satisfaction judgments in adjacent to new task buying situations. The findings will be qualitative in nature and constitute a typology of B2B buyers' individual and joint mental processes in new task buying situations. Admitted, a rather specific demarcation, that is, new task buying conditions, albeit, the sales volume and monetary worth (i.e. airplanes, trains, ships, production machinery, power plant, wind power, to mentioned some), is huge in a markets dominated by new task buying situations.

The insights produces in this study, can further be applied for selling companies to craft close collaborative customer relationships in a systematically and efficiently way. The process of building customer relationships will be guided through actions that yields higher satisfaction judgments leading to loyal customers and finally to increase in sales and profitability. The specific nature of the developed insight will further make it difficult for competitors' to copy. Thus, processing the guidelines offered by the typology in a successful manner will have the potential to create unique competitive advantages from the selling companies' perspective.

Table 1 below provides an overview of the augmented tendencies above.

Paradigmatic perspective	Study object / context	Satisfaction model
<ul style="list-style-type: none"> <li>➤ <i>Mainly positivistic</i></li> <li>➤ <i>Correlation coefficients</i></li> <li>➤ <i>Questionnaires</i></li> <li>➤ <i>Survey studies</i></li> <li>➤ <i>Hypothesis testing</i></li> </ul>	<ul style="list-style-type: none"> <li>➤ <i>Antecedents of satisfaction (e.g. product variety, website design, perceived quality etc.)</i></li> <li>➤ <i>Consumer context</i></li> </ul>	<ul style="list-style-type: none"> <li>➤ <i>Disconfirmation of expectations</i></li> </ul>

### **Paradigmatic posture and methodology (type, collection and analysis of data)**

Justified in the review of literature in the preceding section an inductive qualitative research strategy was adopted in this study. More specifically, a case study was undertaken, designed as a summation design (1) according to Grünbaum (2007). This is a research strategy that is particular suitable to apply when facing a B2B context (Wesley et al, 1999; Halinen & Törnross, 2005). More specifically, three manufacturing enterprises operating on the B2B market was purposeful selected which is a common and acceptable practice when conduction qualitative research

(Kuzel, 1999). The data of the study constituted both primary data, namely words, generated through interviews, and partly secondary data namely words as well as numbers. More concrete, internal and external financial reports, notes about the buying process and resumes from relevant meeting related to the buying process.

The qualitative, semi-structured interview and the “written documents” method were used to collect the empirical data (Yin, 1994: 78-80). The duration of data collection spanned approximately 7 months in all the case companies. In the period organizational members of the buying center was identified and interviewed. Thus, a key informant approach was used, which is an accepted and commonly used technique within qualitative studies (Campbell, 1955; John and Reve, 1982: 519; 263-264; Gilchrist and Williams, 1999: 71-79). To enhance robustness of the information retrieved from the informants they were initially interviewed together and later individually in order to evaluate the similarity of the provided information under the two different situations.

Patton’s (1990: 169-183) operates with 16 different sampling techniques, three of these techniques were used, namely: a. “Theory based”, b. “Intensity and c. “Stratified purposeful”. Besides these techniques a number of selection criteria were applied for instance “choose the case where you can learn the most” (Stake, 2000: 446). Table 2 below provides an overview of actions taken pertinent to creating a coherent research design.

Based on the study purpose point of departure was taken in firms operation on the business market, that had been involved in many purchasing processes with new-task characteristics, thereby insuring that the buying member participant posed rich, detailed, specific and update new task buying experience. Data analysis was based on the pattern matching technique advocated by Yin 1994: 106-108; Patton, 1990: 385-387. The truth value was enhanced by applying four techniques namely, a. objectivity/conformability (i.e. tape recording of interview, literal transcription, explicitly demonstrating the basis of interpretations, case report was submitted to member check). b. reliability/consistency, (i.e. case study protocol), c. Internal validity/authenticity, (i.e. pattern matching, rival propositions, triangulation (data, researcher, theory), trying to create a close relationship between theory, unit of analysis and identified patterns), d. external validity/transferability, (i.e. holistic and deep descriptions was produced, multi-case design, separate cross-case analysis).

Table 2 Methodological choices

Paradigmatic posture	Case selection criteria	Data analysis	Validity and reliability
<ul style="list-style-type: none"> <li>➤ <b>Qualitative</b></li> <li>➤ <b>Inductive</b></li> <li>➤ <b>Emergent</b></li> <li>➤ <b>Case study</b></li> </ul>	<ul style="list-style-type: none"> <li>➤ Most learning</li> <li>➤ Sufficient and specific new-task buying experience</li> <li>➤ A certain size of firm B2B firms</li> <li>➤ Resemblances/differences</li> <li>➤ Accessibility to the field</li> </ul>	<ul style="list-style-type: none"> <li>➤ Pattern matching technique</li> </ul>	<ul style="list-style-type: none"> <li>➤ Objectivity/conformability</li> <li>➤ Reliability/consistency</li> <li>➤ Internal Validity/authenticity</li> <li>➤ External validity/transferability</li> </ul>

## Findings

In this section the results will be compared across the three cases. Similarities and differences will be explained, and implications will be drawn from the results. Probing of buying experiences was based on the actual purchase of a laser cutting machine, a CNC operated production machine and finally, a powder lacquering machine in the three case companies. The purchase price for the three machines was in the price range €530,000 - €650,000 and the operational lifetime in the range of ten to fifteen years. The buying process typically lasted approximately 14 month from recognition of need/screening of the market to delivery of the machine. Buying center members all perceived a high risk, high complexity and high strategic importance in connection with the examined purchases. Several satisfaction dimensions were identified in the three case companies. They were generated based on interpretations of the data generated during the interviews. A satisfaction dimension thus comprises homogeneous issues of high perceived importance to the informants. The informants had different degree of expectations related to the identified satisfaction dimensions. Thus, some satisfaction dimensions are more expected to be fulfilled than others. For example, it is for all the case companies important that the information provides by the potential supplier is of high quality and that the prospect supplier demonstrates a high willingness to share all relevant information and the degree of trust is high. This leads to a satisfaction dimension marked "trustworthiness". A satisfaction dimension that is very important to the members of the buying center because of the new task buying situation they are facing. Therefore, a lower than expected performance on this satisfaction dimension may with high probability lead to a rejection of the supplier in the early phase of the buying process. Put differently, a failure to meet such a satisfaction dimension will go beyond the span of tolerance of the buyer and further lead to a serious consideration about exclude the potential supplier from the buying process. In like manner, a satisfaction dimension that is connected with a low degree of expectation beholds features that can transform a prospect supplier to the chosen supplier. A satisfaction

dimension with low expectation is more unconscious in nature and is perceived in a more abstract way by the buyer. They are rare, and because of the unconscious nature the potential suppliers must be close to the buying center, and be able to identify and understand the needs of the buying center members better than the members themselves do. Such a supplier skill will create real value to the buying organization and enhance the probability of winning the sales. Table 3 below depicts the identified satisfaction, what they constitute, and the degree of expectation of the satisfaction dimension in the three case companies.

Table 3, Satisfaction dimensions and degree of expectation from buyers' perspective

Case company 1 (CC1)	Case company 2 (CC2)	Case company 3 (CC3)
<b>Technical (generic)</b> , the quality of the purchased machine, and output & quality of the parts produced by the machine, the performance etc. This is a basic satisfaction dimension. This is key and thus a very expected dimension. ■	<b>Technical (generic)</b>	<b>Technical (generic)</b>
<b>Service (generic)</b> refers to suppliers' service organization, performance, quality etc. A very expected dimension. ■	<b>Service (generic)</b>	<b>Service (generic)</b>
<b>Trustworthiness (generic)</b> , quality of information, willingness to share information, lever of trust etc. A very expected dimension. ■	<b>Trustworthiness (generic)</b>	<b>Trustworthiness (generic)</b>
<b>Financial (generic)</b> , refers to purchase price, operation cost etc. ■	<b>Financial (generic)</b>	<b>Financial (generic)</b>
	<b>Distance (one-off)</b> , geographic & organization culture and values □	<b>Flexibility (one-off)</b> , future-orientated □
	<b>Empathy (one-off)</b> , understanding of CC2 situation and problems that arises, willingness to help □	<b>Accuracy (one-off)</b> , all must be as agreed, no deviation is accepted ■
		<b>Image (one-off)</b> , environmentally correct, green aspects etc. □
■ High degree of expectation      □ Low degree of expectation		

Besides identification and elaborations of the nature of satisfaction dimension two general traits ascended from the analysis of data. Namely,

degree of homogeneity of satisfaction dimensions and fluctuations of important of satisfaction dimensions pending on the buying process phase.

### **Trait 1 Degree of homogeneity of satisfaction dimensions**

Regarding identical satisfaction dimensions the following satisfaction dimensions was identified: a. the technical dimension, b. the service dimension, c. the trustworthiness dimension and d. the financial dimension (price, operating costs etc.). The technical dimension consisted of factors such as the quality of the purchased machinery, the quality of the molded output, efficiency and performance of the machinery etc. The service dimension consisted of aspects that were related to suppliers' service provider organization, for instance the actual service level and service quality. The trustworthiness dimension consisted of close observation of the suppliers' ability to fulfill promises, to provide accurate and sufficient information and to meet deadlines. Finally, the financial evaluation dimension consisted of the initial cost, the operation cost, scrap value, lifetime estimates etc. of the machines. These four satisfaction evaluation dimensions were disclosed in all case companies; consequently they can be expected to be present in similar companies, i.e., they are of a generic nature.

Table 3 moreover, illustrates that a number of unique satisfaction dimensions were identified, namely the empathy and distance dimension in case company CC2 and the flexibility, accuracy and image dimension in case company CC3. In the case of CC2, the explanation is found in the special strategy this company has developed, where they focus on profitable fulfilling of customized needs of the buyer. For this company, the extreme degree of customization has in fact been a key success factor to survive in a highly competitive and turbulent marketplace. In the same vein, the satisfaction dimension in CC3 originates from the remarkable growth rates the company has realized since the president conceived a simple but vigorous idea. That is, a component part innovation which is now widely applied throughout the companies' product program. In high novelty buying situation we can expect to find one-off satisfaction dimension partly due to the qualitative inductive approach applied to discover insights and partly due to the unique context that a given case company is embedded in. This is in principle a transferable realization with the implication that there is a window of opportunity to craft a successful collaborative buyer-seller relationship.

### **Trait 2, Fluctuations of important of satisfaction dimensions**

The important of the satisfaction dimensions fluctuated pending on the buying process phase. The service satisfaction dimensions were very important in all case companies. In the CC2 it was even perceived as the



most important satisfaction dimensions. Furthermore, the service satisfaction dimension revealed a satisfaction paradox in CC2. It was a satisfaction paradox that implied the importance of the time span in a high novelty buying situation. Contrary to former researchers' findings (Cardozo, 1965; Oliver, 1980; Anderson et al., 1994), that unexpected negative variations in suppliers performance would lead to dissatisfaction, this was not the case in CC2. Because the buying members firmly believed that the supplier would take any necessary corrective action to solve the unexpected problems, they postponed their evaluation judgment. Prior positive interaction experience with the supplier was the main reason for this mental postponement process.

In other words it is crucial to try to understand the sources of unsatisfactory episodes and furthermore to solve the problems fast and effectively. A supplier should thus strive to be proactive in the dialogue with the buyer about incipient dissatisfaction. More specifically, this can be achieved performing rigorous after-sales-service. A display of the above mentioned supplier behavior would increase the probability of a high total perceived buyer satisfaction retention rebuy and loyalty. This is especially imperative because buyers of production equipment often plan to invest in more of the similar or almost similar production equipment in an effort to reduce the transaction costs which can be quite extensive. It appears that there exists some kind of "lots" mentality in the studied case companies that amplifies the consequences of the final satisfaction judgment, both in a negative and in a positive direction. The first purchase of production equipment, or probably of any high novelty business to business purchases, can be labelled as a test buy, with a very high probability of some direct measureable positive consequences, if the buyers' expectations are fulfilled. In all the case companies, the technical satisfaction dimension was perceived as very important. Nonetheless, the analysis of the data indicated that the evaluation process where based on quite other satisfaction dimensions than the technical. How is this then possible? This can be understood by dividing the buying process in phases.

The buying members divided the buying process in three mental phases. Namely, a. the ex-ante buy phase, b. the buying decision phase and c. the post-buy phase. The first mentioned phase comprised activities such as need recognition, preliminary composing of a buying center, specification of need, drawing up election criteria, supplier scanning and screening. A considerable effort is put in this phase which has durations of 6-9 months. In the buying decision phase, the supplier was finally and irreversibly selected. Besides this the phase comprised, delivery and installation of the purchased equipment. Moreover, the staff of the buying organization was trained by employees from the supplier organization. The duration of the buying decision phase lasted typically from 2-4 weeks. This also means that

switching cost increased considerably in this phase. Additionally, the members of the buying center tended to be more positively biased in their future satisfaction judgment of the selected supplier, i.e., because they unconsciously tried to support the crucial and costly supplier election decision. In the post-buy phase the evaluation activities are gradually reduced unless unexpected episodes appear. After a period of approximately 6 months the constant evaluation activities performed by the buying members are completely dormant. If, however, something unexpected important happens the evaluation activity will be reactivated.

### **Focus in buying Process phases**

In the ex-ante purchase phase focus was on trustworthiness (accuracy, observance of deadline etc.), as the buying center members did not want to go on with untrustworthy suppliers. They simply believed that initial failures would continue, for instance a less than promised quality of the purchase machinery or that the service level and service quality would be lower than agreed etc. In the ex-ante purchase phase, they also focused on the level of congruency between the purchase price and the budgeted purchase price (e.g. the financial dimension).

In the buying decision phase, there was an incipient focus on the service dimension. Thus, we have a situation where the technical satisfaction dimension is of high importance to the buying members, however, they do not focus on this satisfaction dimension in the first two phases of the buying process but first in the third and last phase, the post-buy phase. This means that a prospect supplier that has primarily focused on the technical satisfaction dimension and paid little attention to the trustworthiness and financial satisfaction dimension never reaches to the final phase of the buying process. How can this be explained when the technical dimension was perceived as the most important satisfaction dimension in two of the case companies? Simply because it was not possible to assess the performance of the machinery (i.e. the technical satisfaction dimension) before it had been delivered and installed etc. In the same vein, operational cost could also first be evaluated in the post-buy phase. Thus, aspects of the financial satisfaction dimension were important in both the ex-ante buy phase and in the post-buy phase, albeit, because of different aspects. Table 4 below illustrates a systematic relationship between the satisfaction dimensions and thus the asymmetrical importance during the time span of the buying process, discussed above.

Table 4, Taxonomy of generic satisfaction dimensions

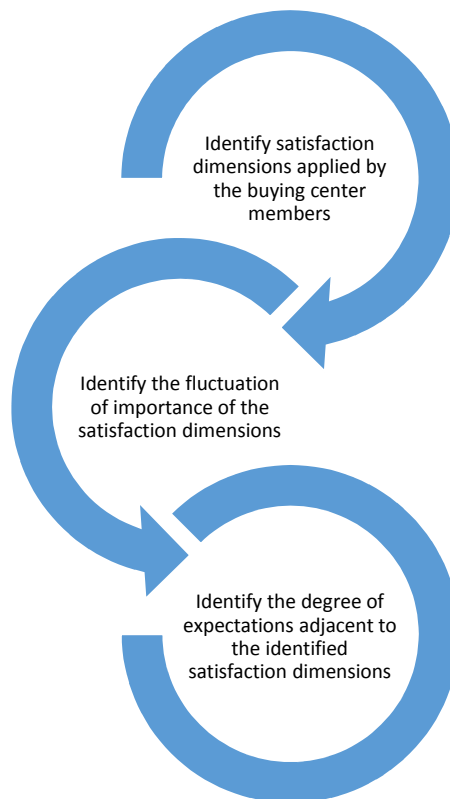
Buying Phases →	<i>Ex-ante buy phase</i>	<i>Buying phase</i>	<i>decision</i>	<i>Post-buy phase</i>
Satisfaction dimensions ↓				
<b>Technical</b>	<input type="checkbox"/>	<input type="checkbox"/>		▪
<b>Service</b>	<input type="checkbox"/>	▪		▪
<b>Trustworthiness'</b>	▪	<input type="checkbox"/>		<input type="checkbox"/>
<b>Financial</b>	▪	<input type="checkbox"/>		▪

▪ High degree of focus    ☐ Low degree of focus

Based on the idea of satisfaction dimensions with fluctuation importance and focus pending on the phase of a given buying process, and furthermore, the idea about different degree of expectations of the satisfaction dimensions, it is possible to propose a three step B2B sales model. The purpose of the steps is in an efficient way to enable members of the selling organization to get a deep understanding of the mental processes that are taking place among the buying center members. Furthermore, it represents a logical manual of what to look for and focus on, when trying to understand and interpret needs and wants in a new task buying situation. Additionally, to transform the offering of the selling organization in a unique way that is hard to copy for competitors and, moreover, creates value to the buying center.

The knowledge can only be retrieved inductively and through a rather time consuming process. The process furthermore calls for a high degree of trust and motivation for closeness between both participatory members of the buying and the selling organization. Albeit, the outcome of the time consuming process is satisfied B2B new task buyers with a high probability of displaying repetitive and loyal buying behaviour. This will potentially lead to higher profitability in the supplier organizations and to a unique value creation in the buying organization. The three step B2B sales model is illustrated in figure 1 below.

Figure 1 A three step B2B sales model based on satisfaction judgments



Lastly, a symbiosis of the nature of the satisfaction dimensions, their interplay and important elements from the perspective of the buying center, is offered in form of an integrative framework. Moreover, managerial guidelines are presented as a consequence of the insights created in this study. Table 5 below depicts this integrative framework of the results and the managerial implications. On the vertical axis satisfaction dimensions are displayed. On the first top horizontal axis the three buying phase are displayed and on the second top horizontal axis are the managerial implications displayed. Specifically, the framework presents specific guidelines depending on identified satisfaction dimension and buying process phase. For example, according to the framework a seller confronted with a new task buying situation that is in the ex-ante phase of the buying process should regarding the technical satisfaction dimension provide high quality information about technical and performance aspects. Moreover, demonstrate quality by visiting customers (historical buyers) and set up possibility for communication between the prospect buyer and the existing customer. Duration of the new task buying process, and activities in the buying phase is also offered in the framework.

Table 5 Integrative framework of findings and implications

Satisfaction dimensions	Ex-ante buy phase	Buying phase	decision	Post-buy phase
<i>Managerial implications</i>				
<b>Technical (generic)</b>	Provide high quality information about technical and performance aspects. Demonstrate quality by visiting customers (historical buyers) □	No activities ▪	particular	Create coherence between buyers expectation about efficiency and performance of machinery and actual perceived performance □
<b>Service (generic)</b>	Explain service quality and performance. Be specific. Make monetary guarantee if promises and response time is not meet □	High focus on securing service quality and on training buying organizations employees' □		High focus on fast actions if unsatisfactory episodes arises □
<b>Trustworthiness (generic)</b>	High focus on all aspects □	No activities ▪	particular	No particular activities ▪
<b>Financial (generic)</b>	High focus on securing congruity between actual purchase price and budget price □	No activities ▪	particular	High focus on securing congruity between actual purchase price and budget price □
<b>One-off satisfaction dimensions</b>	Search for unique satisfaction dimensions	Clarify satisfaction dimensions as they can be the key to win the contract if they are unexpected	unique	No particular activities because expectations' related to one-off satisfaction dimensions have been encounter at this point
<b>Activities in the three buying phases</b>	Specification of need and market screening	Supplier choice and installation of production equipment. Training of production staff		Gradual reduction of evaluation activities
<b>Duration</b>	6-9 month	2-4 weeks		4-6 month, but can be activated again if unexpected episode occurs
▪ High degree of focus      □ Low degree of focus				

## Conclusion

An integrative framework was developed in this paper which can help to get a better understanding of some of the psychological processes that take place in a high novelty business purchase. Furthermore, the integrative framework with the notation of fluctuation in importance when forming satisfaction judgement during the buying process makes it possible to craft specified marketing strategy actions at a given time in the buying process. Furthermore, a three step sales model was introduced. Namely, (1) Identify

the satisfaction dimensions the buying center members apply in the buying process. (2) Identify the fluctuation in importance of the satisfaction dimensions. (3). Identify the degree of expectations' adjacent to the identified satisfaction dimensions.

### **Managerial Implications**

As noted in the discussion about degree of expectations type adjacent to a satisfaction dimensions because a satisfaction dimension with a low degree of expectation represents a unique opportunity for the supplier to create a strong preference. This is due to the asymmetrical relationship between performance and expectations (e.g. the surprise element). The above-mentioned satisfaction paradox illustrates another interesting area. In this paradox situation, suppliers' could, in certain circumstances, influences the final satisfaction outcome even if the performance had been significantly lower than expected during the buying process. It is in other words possibly at the end of a high novelty business-to-business purchase to create the crucial feeling of high buyer satisfaction albeit that unexpected negative episodes were a part of the buying process. This stands in sharp contrast to a consumer context where satisfaction judgments are formed more quickly and thus are harder to change again. More specifically, this demonstrates that the supplier needs to focus and allocate sufficient resources to handling complaints and solving potential conflicts.

### **Research implications**

We need more longitudinal and process orientated knowledge about the psychological processed that goes on but individually and among members of the buying center. This, I believe is best facilitated by using a naturalistic research paradigm. More knowledge is needed about the "lots" mentality. Is it true that organization often buys in numbers when facing high novelty buys? It is possible to imagine a number of reasons that support this idea. For instance; a. that the buying center tries to utilize the existing equipment to minimize costs, b. the availability of more sophisticated technological solutions will increase as time goes by, c. by waiting the buying organization knows if the increase in activity level is a permanent trend or merely a temporary tendency, d. trying to minimize transaction costs. In like manner, the notation of the mental postponement process mentioned above requires further elaboration. Lastly, speculations about differences in the span of tolerance depending on level relationship orientation need more elaboration.

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# PRINCIPLES OF TRANSFER PRICE FORMATION IN THE MULTICOMPONENT ENTERPRISES

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## **Abstract**

Transfer pricing is one of the characteristics and benefits of a decentralized company. Business companies usually opt for decentralization in order to abandon the principle of centralized management, enhance responsibility of the responsibility centres that usually perform the function of profit centres, as well as their interest in better corporate performance results. Several transfer pricing methods are discussed in scientific literature and applied to practice, such as market-based transfer price, cost-based transfer price, and negotiated transfer price methods. The paper presents the study that analyses the transfer pricing methods, identifies their benefits and weak aspects, and presents principles to be followed by the managers of responsibility centres and company when choosing the appropriate transfer pricing method. During consideration of the most appropriate transfer pricing method, the possibility for division to gain profit and receive compensation from the central management must be considered.

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**Keywords:** Transfer Price, Decentralization, Cost-based Transfer Price, Market-based Transfer Price, Negotiated Transfer Price

## **Introduction**

Centralized corporate process management has recently been characterised by increasing loss in efficiency and growth in complexity despite the growing business volumes and need to respond promptly to changes. Many companies have been opting for decentralization of business process management and transferring responsibility to subsidiaries, branches, or autonomous responsibility centres. In a decentralized business organization, decision-making authority is not delegated to a few top managers. With an internal responsibility system in place, responsibility for different business areas is allocated to different employees. In this case,

decision making is allocated to managers at the respective level in charge of the specific area of responsibility.

Transfer pricing is both a requirement and a benefit of decentralization. Ever since the year 1957, when J. Herschleifer (1956) used the notion of transfer pricing in the research article for the first time, global interest in this methodology for promotion of corporate responsibility, control, and financial stability has been growing. Majority of business companies implementing decentralization face the necessity of developing a transfer pricing system to fix the prices on intermediate products traded between the responsibility centres within the company. Transfer pricing is feasible within the company that has implemented the system of responsibility.

Transfer pricing is applicable to transactions within a company, i.e. is subject to either no or very little influence by the external competition. Transfer pricing is an internal proxy for intra-company allocation and use of resources and profit generation. Nonetheless, transfer pricing is not only a system of efficient internal resource allocation, but also an auxiliary tool that helps coordinate actions in the responsibility centres. With the system of transfer pricing in place, it is easier for corporate management to manage and measure efficiency and profitability of the responsibility centres, while the responsibility centres are encouraged to only make the decisions which are aimed at increasing the corporate profit. After transfer pricing has been implemented in a company, an internal control system is developed and applied to all stages of corporate operations: starting with consistent motivation for the middle managers in charge of responsibility centres to make decisions that are beneficial to the company, and ending with proper and fair assessment of the company's performance.

Although methods of transfer pricing are often analysed in research works (Adams and Drtina, 2010; Gavius, 1999; Jordan, 1990; Kanodia, 1979; Turney, 1977), no specific and applicable methodology for development and application of the transfer pricing system satisfying a number of different corporate aims has been put forward. Matsu (2013), Hieman and Reichelstein (2012), Pfeifer *et al.* (2011), Veres (2011), Schuster and Clarke (2010), Gox (2000; 2010), Dikolli and Vaysman (2006), Antic and Jablanovic (2000), Baldenius *et al.* (1999) have described the methods of transfer pricing, their benefits and disadvantages. These research works suggest that further studies are required to analyse the rationale behind the choice of the most appropriate transfer pricing method, functions to be satisfied in formation of the transfer pricing system, and performance assessment of the system. This has implied the need for deeper analysis and synthesis of elements of formation of the transfer pricing system. The presented research analyses and summarizes the characteristics of

conventional cost-, market-based, or negotiated transfer pricing methods, and dedicated suggestions on formation of the corporate transfer pricing system to meet the financial and managerial requirements are put forward.

Theoretical background of the study is comprised of the study on previous research works related to the transfer pricing methods, analysis of their benefits and disadvantages, comparison as well as logical and graphic summarization, and generation of conclusions and suggestions. Theoretical review of the scientific literature has been performed under the methods of analysis, synthesis, and logical comparison. Inductive and deductive approaches have been used to assess the transfer pricing methods and their applicability. The results are presented under the monographic method.

### **Transfer pricing within the context of company decentralization**

Business companies always operate in a constantly changing business environment, which means that a company must decide on the most appropriate management system, which is usually based on either centralization or decentralization of management and responsibility for performance. Decision-making is delegated to top managers at a centralized company, while lower-tier managers are only in charge of implementation of the decisions. The number of decentralized companies has been growing lately. In a decentralized company, the management system is characterized by delegation of the decision-making authority and related responsibility, implementation and results of the decisions from the top managers to lower-tier managers.

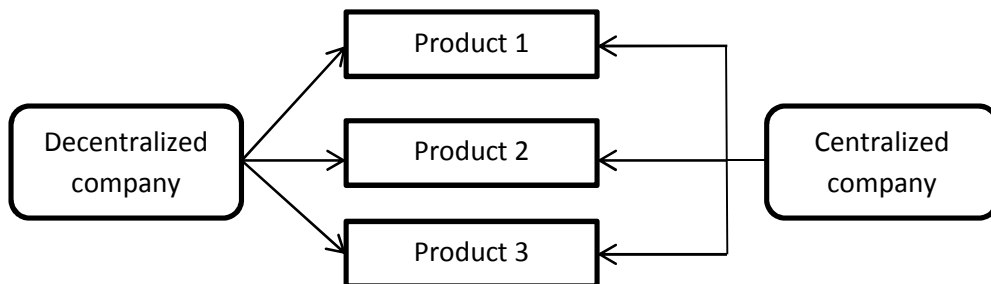


Fig. 1. Production management in a centralized and decentralized company

Decentralization in company simulates market conditions between responsibility centres that operate autonomously, although at different levels of autonomy (Shuster and Clarke, 2010). Decentralization prompts the company to develop the transfer pricing system for an intermediate product that is transferred between the responsibility centres within the company for the purpose of maximizing the profit earned by the centres despite the absence of external competition (Shor and Chen, 2009; Ronen and Mchinney, 1970).

Sahay (2003), Gox (2000), Turney (1977) have suggested that transfer price is a price applied by responsibility centres to the provided services or intermediate products transferred from one responsibility centre to another. Application of transfer price is not only related to payment for productive resources within the company (Adams and Drtina, 2008; Dopuch and Drake, 1964), but also encourages the responsibility centres to achieve the level of production which provides the maximum profit to the company (Chitiz and Birman, 2012; Shor and Chen, 2009). According to Adams and Drtina (2008) application of transfer price in a company could be referred to as a mechanism that helps allocate profit between the responsibility centres.

Analysis of the research literature (Chitiz and Birman, 2012; Hieman and Reichelstein, 2012; Matsu, 2010; Schuster and Clarke, 2010; Shor and Chen, 2009; Steven, 2008; Adams and Drtina, 2008; Jordan, 1990; Turney, 1977; Abdal-Khalik and Lust, 1974) has allowed defining the corporate goals that are sought by transfer pricing. The goals are as follows: adoption of the most appropriate economic decisions on the planned investment, production costs and introduction of technologies; fair resource allocation between the responsibility centres, assessment of their performance results, and maximization of income; personnel motivation; promotion of production of an intermediate product and internal sales; homogenization of the goals of top management of the company and responsibility centres. Shillinglaw's (1957) approach, considered classical, suggests that performance of responsibility centres should be assessed not only by the profit generated, but also by contribution of the centres to implementation of the main corporate goal (goals). Therefore, implementation of transfer pricing leads to decentralization of the corporate operations by allocating them to the profit (responsibility) centres (Indjekian and Matejka, 2012; Shuster and Clarke, 2010; Shor and Chen, 2010; Zhao, 2000; Jordan, 1990; Hufnagel and Brinberg, 1989; Kanodia, 1979; Ronen and Machinney, 1970; Dopuch and Drake, 1964). Such decentralization is beneficial to the company, as profit (responsibility) centres are established during its implementation. Middle managers in charge of profit centres are responsible for revenue, costs, profit, and are authorized to adopt decisions related to profit maximization. Being in charge of planning and control of the profit centre performance, the managers demonstrate more efficient coordination of the production process and the determining factors. Profit-seeking approach encourages middle managers in charge of responsibility centres follow the latest information on market changes, fluctuation of prices on raw materials and products, as well as information on critical situations on the local markets. Finally, profit centres update top managers on the mentioned information about the market, which is also beneficial to the top management.

Transfer price may also help first-line managers assess performance of the profit (responsibility) centres, expressed in individual contribution to the corporate profit, more accurately. Transfer pricing system is intended to encourage middle managers who are in charge of responsibility centres to act for their own benefit, which, in this case, translates into pursuit of corporate goals. Such a system, therefore, should be an impetus for the middle managers in charge of profit (responsibility) centres to improve their performance without compromising the autonomy.

Profit (responsibility) centres become less beneficial to a company, where middle managers are only focused on operations of their respective responsibility centre. In such case, the middle managers do not communicate with each other, pursue the policies of their respective centres without any consideration of other responsibility centre(s), conceal information, and artificially raise costs and transfer price (Shor and Chen, 2009; Kanodia, 1979; Ronen and Mchinnery, 1970). Such relations may lead to failure of corporate profit maximization efforts, i.e. failure of the main goal of decentralization, which is achievement of common corporate goals through implementation of individual goals of the responsibility centres.

### **Analysis of transfer pricing methods**

Transfer price is expression of the value of intra-company transaction between profit (responsibility) centres. Scientific literature review (Hieman and Reichelstein, 2012; Veres, 2011; Schuster and Clarke, 2010; Dikolli and Vaysman, 2006; Li, 2005; Mackevicius, 2005; Lengsfeld and Schiller, 2004; Antic and Jablanovic, 2000; Baldenius et al. 1999; Gavius, 1999; Sharav, 1974; Shillinglaw, 1957) has provided a variety of different method of transfer price formation. Transfer price may be based on the market price, costs incurred by the responsibility centres, or negotiated between the responsibility centres. As a result, three approaches to transfer price formation have been distinguished: market-based, cost-based, and negotiated transfer price methods (Fig. 2.). According to Gavius (1999), a company may incur loss where an inappropriate method of transfer price formation has been chosen. It is, therefore, necessary to consider the benefits and weak aspects of each method to choose the most adequate transfer pricing approach satisfying the corporate goal, which essentially is the increase of corporate profit or its value, i.e. the cause of transfer price formation.

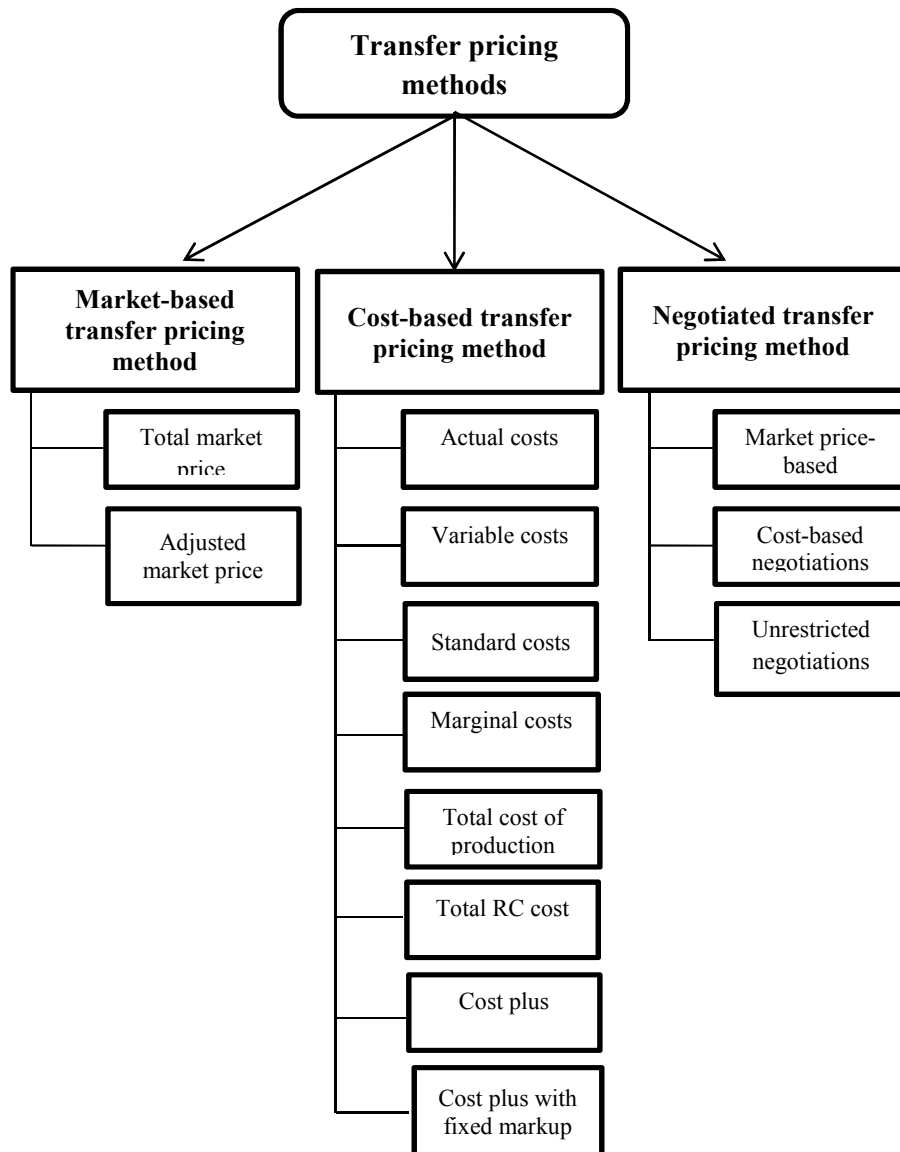


Fig. 2. Transfer pricing methods

As mentioned above, transfer price is formed and used by a decentralized company, the organization of which is divided into profit (responsibility) centres (Fig. 3). Responsibility centres may produce and sell their products as well as engage in other activity independently of each other. Transfer price is formed after the responsibility centres have been allocated with responsibility for production and/or sale stages. Responsibility centre 1 (RC 1) produces an intermediate product, RC 1 purchases raw materials on the external market. The cost of raw materials purchased is included into the



transfer price. Responsibility centre 2 (RC 2) purchases the intermediate product from RC 1 to produce the end-product for sale on the external market only. RC2 is entitled to purchase the intermediate product on the external market, if the transfer price on the intermediate product offered by AC 1 is not satisfactory, or if production of the intermediate product is not beneficial to the company.

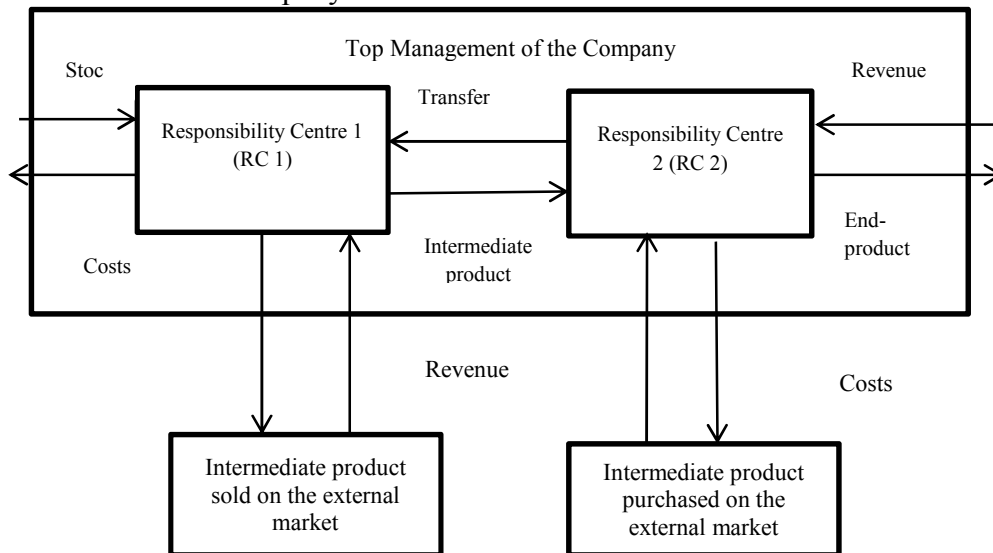


Fig. 3. Sequence of supply – production – sale processes in a decentralized company

Where the market-based transfer price approach has been chosen, market information is the key factor. A profit (responsibility) centre makes an assumption that the profit would be achieved at the known market price (Veres, 2011). This approach to market price formation is only feasible when market information is available, and the intermediate product is competitive on the external market. According to Schuster and Clarke (2010), the main advantage of the market-based transfer pricing method lies in the fact that the established transfer price reflects current market conditions and changes along with the changes of market conditions. Transfer price established under the market-based transfer pricing method is objective and unbiased (Schuster and Clarke, 2010; Antic and Jablanovic, 2000). On the other hand, application of this method requires high level of responsiveness and flexibility from the middle managers in charge of the respective responsibility centers both in collection of the market information and its use for transfer price formation.

Transfer price calculated under the market-based transfer price approach may spark conflicts between the responsibility centres, in particular, between the centre supplying and the centre purchasing the

intermediate product. These responsibility centres perform the functions within the company that are equivalent to that of a seller and supplier on the external market. The conflicts emerge when market price is lower or higher than the cost of production by the RC (Antic, Jablanovic, 2000). With all the necessary external information available, the transfer price is established by the responsibility centre which transfers the product within the company as follows:

$$TP = p \quad (1)$$

where: TP – transfer price;

p – external market price.

This method of market price formation refers to the market price only and follows the rule of thumb stating that a transfer price must not exceed the external market price. Therefore, (1) the equation should be adjusted as follows:

$$TP \leq p \quad (2)$$

Transfer price may be lower than the market price (2), when responsibility centres apply intra-company discounts. The discounts may be applied in cases of difference between the quality and supply of the product produced by the responsibility centre and the product available on the market, instability of the product market, and unstable prices. Baldenius and Reichelstein (2005) have offered the following calculation method for the transfer price including the discount:

$$TP = (1-y) p \quad (3)$$

where y – discount.

However, transfer price established under this method does not fall within the requirements to market-based transfer pricing approach for the following reasons: 1) discounts are applicable to other transfer pricing methods as well, 2) discount intrinsically implies the need for negotiation, which is the key behind the negotiated transfer price method. As emphasized by Hiemann and Reichelstein (2012), market price is applied to transfer pricing, when the product has the market price, while another transfer pricing method is chosen for cases, where the product has no market price.

In general, market-based transfer price could be claimed to be objective and unbiased, as it reflects current market conditions and changes related to fluctuations on the market. Market price is not applicable to transfer pricing, if the market is non-competitive or subject to an artificially-created bubble. A responsibility centre may harm the company, if it adopts decisions optimal (favourable) for it in such a situation. Market price that is lower than the cost of the intermediate product produced is not beneficial to Responsibility Centre 1 (Fig. 3). Another method is applicable in such a situation. Responsibility Centre 1 receives benefit, if the market price is higher than the costs incurred in production of the intermediate product, and

RC 1 is able to generate more revenue. On the other hand, higher market price is not beneficial to Responsibility Centre 2. Nonetheless, discounts may apply for promotion of the intra-company trade.

For negotiated transfer price method, transfer price is formed as a result of negotiations between middle managers in charge of the responsibility centres. During the negotiations, the managers may refer to the market price or expenses of the responsibility centre (Fig. 2). Negotiations between responsibility centres may take place without any restrictions. The goal of negotiations is a transfer price that is acceptable to the both parties. Market-based transfer price formation method may be applied in a decentralized company with self-sustained, independent responsibility centres that enjoy high level of autonomy (Shuster and Clarke, 2010; Li and Ferreira, 2008). The negotiated transfer price approach is the most suitable, where no active market exists for the product, or where the product price temporarily rests on the bottom, or the product is of special, exclusive nature. In order to avoid conflict situations between middle managers in charge of responsibility centres and encourage them to reach an agreement sooner, the negotiation procedure must be verified by the top management of the company who also establish limitations and trade-offs for certain circumstances, as well as the approach towards discounts in formation of the transfer price (Dikolli and Vaysman, 2006; Gavios, 1999; Vaysman, 1998). In discussion over the negotiation procedures, the influence of transfer price on profit of the responsibility centre is discussed, employee motivation system is developed, and criteria to be followed during negotiations are established. Negotiation procedure should be part of the motivation system for middle managers in charge of the responsibility centres, as it is expected to promote efficient performance by the employees.

It has been suggested in the scientific literature (Dikolli and Vaysman, 2006; Antic and Jablanovic, 2000; Ghosh, 2000; Vaysman, 1998; Borkowski, 1990) that the major disadvantage of the negotiated transfer price method is considerable time input required. Negotiations, collection, processing, and analysis of the latest information require a great deal of time. Middle managers in charge of the responsibility centres prepare for the negotiations by collecting information on market prices, costs to ensure stronger position during negotiations, learn more about own strengths, as well as weaknesses of another responsibility centre. According to Ghosh (2000), transfer price agreed to during negotiations is also influenced by external sources of supply.

Other weak aspects also are typical of the negotiated transfer price method, namely, lack of the responsibility centre managers' skills in negotiations; loss of potential favourable sale of the product on the market in case negotiations drag on, which causes harm to the company and

increases costs incurred by the responsibility centres; middle managers in charge of the responsibility centres cheating by presenting distorted information or concealing it, which means that the company receives only partial possible benefit from the intra-company trade. Negative aspect of this method also lies behind assessment of the middle managers' negotiation skills rather than their control over costs in the responsibility centres.

If the negotiation process does not cause any conflicts, this method is beneficial to the company. The process of negotiations involves sharing of the information on business conditions on the local markets and cash flows. This information is used for improvement of efficiency of the responsibility centres.

Negotiated transfer price method is beneficial to a company, where middle managers in charge of the responsibility centres are able to negotiate on the transfer price without any restrictions, or where market price has been subject to artificially-created bubble (Dikolli and Vaysman, 2006, Antic and Jablanovic, 2000; Baldenus *et al.*, 1999; Vaysman 1998). During negotiations, middle managers in charge of the responsibility centres may agree on the transfer price that is lower than the market price. Transfer price formed by company managers must promote intra-company trade. In this case, responsibility centres may be provided with discounts or certain guarantees under the condition, however, that decisions made by the RC managers contribute to achievement of common goals related to the corporate profit. Lower transfer price may not only lead to growth of sales volumes on the intra-company market, but also improvement of the company's competitive advantage on the external market (Yao, 2013). Wheeler and Typpo (2013) have suggested that, in case of the negotiated transfer price method, transfer price formation is subject to the following parameters: max transfer price = market price; min transfer price = costs incurred by the responsibility centre. With reference to these parameters, transfer price is formed under the following principle during negotiations:

$$TP_{\min} \leq TP \leq TP_{\max} \quad (4)$$

where: TP – transfer price;

$TP_{\min}$  – minimum transfer price;

$TP_{\max}$  – maximum transfer price.

With reference to characteristics of the minimum and maximum transfer prices, the prices may be expressed as follows:

$$TP_{\max} = p \quad (5)$$

$$TP_{\min} = (1 + g) VC \quad (6)$$

where: p – external market price;

VC – variable cost of production;

g – opportunity cost established by the enterprise.

Negotiated transfer price method is beneficial, where offers on transfer price and responses are provided promptly. Nonetheless, the method is not applicable where it causes conflict situations and disputes between the responsibility centres. Time is wasted on dispute solving, costs incurred by the responsibility centres increase and reduce the corporate profit.

Cost-based transfer price, as claimed by Antic and Jablonovic (2000), is the simplest transfer pricing method, as the transfer price is calculated on the basis of production costs required for production of the respective product. Main benefits of this method: simplicity; coverage of all costs of production and other business functions; may be applied, where no market price is available; time-saving; eliminates friction between managers of the responsibility centres; provides time to remove the emerging problems or challenges (Dikolli and Vaysman, 2006; Antic and Jablanovic, 2000; Sharav, 1974). According to Matsui (2013), 46 % of enterprises opt for the method of cost-based transfer price.

Nonetheless, deeper analysis of the method has revealed its underlying complexity. Cost-based method requires considerable information base and its analysis. During establishment of transfer price under the cost-based method, market conditions, as well as price policy, behaviour of market participants, price sensitivity, competitors must be considered. Employees should also be aware of the structure of product market, where they sell their products, and habits of their clients.

The following costs may be used as the basis for establishment of transfer price under the cost-based method (Fig. 2): standard (Schuster and Clarke, 2010; Lengsfeld and Schiller, 2004; Antic and Jablanovic, 2000; Baldenius et al., 1999), actual (Pfeiffer *et al.*, 2011; Schuster and Clarke, 2010; Lengsfeld and Schiller, 2004; Sharav, 1974), variable (Sahay, 2003; Antic and Jablanovic, 2000), marginal (Gavious, 1999; Sharav, 1974), or total costs (Veres, 2011; Li, 2005, Antic and Jablanovic, 2000). Where transfer price is calculated based on costs only, the following equation (Sahay, 2003) applies:

$$TP = q \cdot k \quad (7)$$

where: TP – transfer price;

q – quantity of the intermediate product;

k – costs per product unit.

Under *cost plus* method (Schuster and Clarke, 2010; Mackevicius, 2005; Hung Chan and Lo, 2004; Gavious, 1999; Sharav, 1974), transfer price is calculated by adding markup to the product cost. Markup provides the contractual profit to the responsibility centre and may be applied irrespective of the type of costs used as the basis for the transfer price.

Two options of markup calculation used in the *cost plus* method are available: multiplicative markup, additive markup, or combination of the both.

In the multiplicative markup method, transfer price is calculated under the following equation (Sahay, 2003):

$$TP = (1 + m) \cdot qk \quad (8)$$

where:  $m$  – fixed percentage added to variable costs.

Where multiplicative markup method is applied, the company faces challenges related to choice of multiplicative markup  $m$ , as large markup may lead to sales slowdown. This may be avoided by using additive markup, when transfer price is calculated under the following equation (Sahay, 2003):

$$TP = q \cdot (k + a) \quad (9)$$

where:  $a$  – cash markup per product unit.

Sahay (2003) has offered combining equations (8) and (9), and calculating the transfer price by the cost-based transfer pricing method under the following equation:

$$TP = q \cdot \mu (k) \quad (10)$$

where:  $\mu \geq 1$

Transfer price calculated under equation (10) covers all production costs incurred by RC 1 that produces the intermediate product. The revenue generated by the responsibility centre may be used for investment within the centre. Under equation (10), responsibility centres are not interested in artificial raising of their costs, which may help avoid the key weakness of all transfer price formation methods – distortion of cost-related information.

With the cost-based method in place, managers of a decentralized company must carefully choose an equation of the cost-based method to calculate the transfer price, as incorrect transfer price leads to reduction of production volumes and corporate revenue.

In general, the cost-based method may be claimed as a convenient and time-saving approach; however, the company may incur losses, if faulty information is used. Transfer price calculated using faulty data from statements submitted by the responsibility centres distorts information, and middle managers in charge of the responsibility centres adopt inadequate production- and sale-related decisions that lead to slowdown of successful production and operations of the responsibility centers without any regard to the needs of the enterprise. Transfer price established under the cost-based method may be the same as the prevailing market price. If the market price is lower than the estimated transfer price, the responsibility centre may plan new investment to cut the costs incurred by it.

### Choice of method for formation of the most appropriate transfer price

Analysis of transfer pricing conditions and its methods has suggested that method chosen when forming a transfer price should be aimed at enhancing the company's resilience and sustainability on the external market and help assess efficiency, profitability of the responsibility centre that supplies the intermediate product.

The following equation (Penno, 1990) may be used to assess the efficiency, profitability of RC 1 (Fig. 3):

$$\pi_1(v) = R_1(v) + TP * q(v) - C_1(v) \quad (11)$$

where:  $\pi_1(v)$  – efficiency, profitability of RC 1;

$R_1(v)$  – revenue earned by the responsibility centre, if the intermediate product is sold on the external market;

TP – transfer price;

$q(v)$  – quantity of the intermediate product sold on the intra-company market;

$C_1(v)$  – costs incurred by RC 1.

Profitability, efficiency of RC2 are calculated under equation (Penno, 1990):

$$\pi_2(v) = R_2(v) - TP * q(v) - C_2(v) \quad (12)$$

where:  $\pi_2(v)$  – efficiency, profitability of RC 2;

$R_2(v)$  – revenue from the end-product on external market;

$C_2(v)$  – costs incurred by RC 2.

Equations (11) and (12) may be used to determine, which responsibility centre has more influence on the total corporate profit. Responsibility centres must be motivated through certain compensation schemes based on their results: revenue from sale of goods on the external and intra-company market, costs saved, size of investment. Compensations to responsibility centres may be calculated under the following equations (Penno, 1990):

$$Z_1(v) = R_1(v) + TP * q(v) - C_1(v) \quad (13)$$

$$Z_2(v) = R_2(v) - TP * q(v) - C_2(v) \quad (14)$$

where:  $Z_1(v)$  – compensation to RC 1;

$Z_2(v)$  – compensation to RC 2.

In order to motivate employees at the responsibility centre, the centre manager may distribute the compensation among employees or use it for new investment for reduction of costs of the responsibility centre.

In general, it may be suggested that the choice of methods for transfer price formation is related to motivation and coordination of actions of first-line managers at the autonomous responsibility centre. If the transfer price is not beneficial to a responsibility centre, the responsibility centre may reject it, choose other method, purchase or sell the intermediate product on the external market.

## Conclusion

In order to form a transfer pricing system in a company, the company must be decentralized. A decentralized company comprised of profit (responsibility) centres aims at the increase of company profitability, as well as improvement of implementation of common corporate goals through pursuit of goals of the responsibility centres. In implementation of transfer pricing, the aim is to provide better motivation to the managers in charge of responsibility centres in adoption of efficient decisions. It is, therefore, important to choose the method that is beneficial to all responsibility centres that participate in the transaction(s) and the company.

Market price is applied to transfer pricing, if a product has the market price; while in case no market price is available for the product, other transfer pricing methods apply. Transfer price may be market-based, based on costs incurred by the responsibility centres (cost-based), or established by agreement between the responsibility centres (negotiation-based transfer pricing method).

Market-based transfer price is formed with reference to the market price only, as this approach follows the rule of thumb stating that transfer price shall not exceed the external market price. Discount approach offered by the researchers for formation of transfer price is not characteristic of the transfer pricing based on market price only, which means that applicability of other methods should be analysed prior to search for rationale behind application of discounts.

Negotiated transfer price is formed as a result of negotiations between managers in charge of the responsibility centres. Transfer price is formed during negotiations with reference to the market price or product, or costs incurred by the responsibility centre. Thus, negotiated transfer price method is, to a certain extent, a combination of the two other methods. Therefore, if transfer price is formed under this method, behaviour of the external market participants, production capacity of the responsibility centre and its utilization, skills of the managers of responsibility centres in coordination of interests of all stakeholders (responsibility centres and company), traditions of corporate communication should be considered.

Cost-based transfer pricing method is the most common. This method offers the widest possibilities for formation of transfer price, as it allows choosing the costs as the basis of the transfer price. The costs may be standard, actual, variable, marginal, or total costs. Moreover, this method usually involves application of the mentioned system of discounts. Thus, the estimated transfer price is the representation of the total cost per product unit incurred by the responsibility centre transferring the intermediate products, reduced by the available discount.



In general, the analysis of transfer price formation methods has suggested that, irrespective of the type, a transfer pricing method must always ensure that the transfer price does not exceed the potential market price ( $TP \leq p$ ). During estimation of the transfer price, the possibility for division to gain profit and receive compensation from the central management must be considered. Estimated intra-company profitability indicators of the responsibility centres will help assess the most beneficial method of transfer pricing both for the responsibility centres and the entire company. Compensation to the responsibility centre may be used in an employee motivation scheme or for new investment.

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# THE EMPLOYMENT AND WAGE SPILLOVER EFFECTS OF SLOVENIA'S 2010 MINIMUM WAGE INCREASE

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## Abstract

We analyse the effects of a large increase in Slovenia's minimum wage in March 2010 using administrative data covering the entire population of labour force participants. We find that the minimum wage increase had a significant and sizable negative effect on the job retention of minimum wage recipients, especially of young and low-education workers, and also led to an increased probability of job-to-job transitions for minimum wage recipients. In addition, we find evidence of spillover effects of the minimum wage increase on wages higher in the wage distribution, with the effects monotonically decreasing with wages but still present at 150 percent of the new minimum wage. The results are based on a difference-in-differences approach in which the treatment group is comprised of workers whose wages at the time of the introduction of the minimum wage raise were below the new minimum wage, and the control group is comprised of workers whose wages were slightly above the new minimum wage.

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**Keywords:** Minimum wage, worker flows, employment, wages, wage distribution, labour productivity, spillover effects, Slovenia

## Introduction

In March 2010, Slovenia dramatically increased the statutory minimum wage, from 597 to 734 euros gross per month, or by 22.9 percent. The magnitude of this increase strongly exceeded that of previous minimum wage adjustments following the introduction of a minimum wage in 1995, and, oddly, coincided with the economic slowdown that started in 2008. After the increase, which placed Slovenia second among all EU countries by the ratio of minimum to average wage, the number of minimum wage earners has been steadily increasing and by 2014 more than doubled.

Both the theoretical and empirical literature on the effects of minimum wages on labour market outcomes has been voluminous – without reaching a consensus about employment effects. Recent studies based on

micro data and quasi-experimental approaches mostly show that high minimum wages negatively affect worker and job flows, reduce employment and inhibit its recovery (see, for example, Neumark, Schweitzer and Wascher 2004 for the United States, and Abowd, Kramarz, Margolis and Philippon 2000, and Portugal and Cardoso 2006, for France and Portugal, respectively). Studies also show that these effects are stronger for vulnerable groups and that they disproportionately affect sectors with high shares of minimum wage recipients. But there are also many empirical studies that report positive and/or statistically insignificant effects of minimum wages on employment and labour market transitions (for example, Card and Krueger 1995, Stewart 2004, and Dickens and Draca 2005; see an overview by Neumark and Wascher 2010).

**Less controversial is the evidence that minimum wage increases affect wage distribution.**

Wages of workers at the bottom of the wage distribution are most directly affected, but minimum wages also affect wages higher up in the wage distribution via spillover effects (see Neumark, Schweitzer and Wascher 2004 for an overview). This effect has led several authors to conclude that minimum wages have an important contribution to reducing wage inequality in developed countries (see Neumark and Wascher 2010).

In recent years, the minimum wage policy in Slovenia has come under heated debate. Trade unions defend the current level and indexation practices related to minimum wage, pointing to anti-poverty effects of the minimum wage and the reduction of wage inequality in recent years. But others – including the government think-tank IMAD as well as the OECD and European Commission – warn about the negative effects of the 2010 increase of the minimum wage on international competitiveness of the Slovenian economy.<sup>9</sup> Noting that Slovenia recorded one of the largest reductions in economic activity in EU in the post-2008 crisis and at the same time undergone the largest increase in the minimum wage, IMAD (2013) also attributed a loss of 7,000 jobs in the short term, and 18,000 in the long term, to the post-2009 minimum wage hike.<sup>10</sup>

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<sup>9</sup> In its latest communication, the European Council (2014) voiced a concern over the limited progress in implementing its last year's recommendation on the minimum wage, and OECD (2013, p. 7) recommends: "Following a 23 percent hike in 2010, the authorities should ensure that the minimum wage declines relative to the median wage over time and adopt a new social agreement introducing wage moderation over an extended period of time to support Slovenia's competitiveness."

<sup>10</sup> The estimates are predictions based on the estimation of nation-wide labor demand function by Brezigar Masten, Kovačič, Lušina and Selan (2010).

The objective of this paper is to rigorously evaluate employment and wage distribution effects of the 2010 Minimum Wage Law, taking advantage of an exceptionally rich, administrative microdata of both workers and firms. On the employment and labour market transition front, the paper addresses the questions whether the minimum wage hike increased the flow of workers from employment into unemployment, inactivity, or another job; and whether it reduced the probability of entry to employment for the likely candidates for minimum wage, for example, for young and low-skilled workers. On the wage distribution front, the paper addresses the question whether the sharp increase in the minimum wage increased the concentration of low-wage workers, and whether there have been spillover effects that increased wages of higher-paid workers.

We find that the minimum wage increase had a significant and sizable negative effect on the job retention of minimum wage recipients, especially of young and low-education workers, and also led to an increased probability of job-to-job transitions for minimum wage recipients. In addition, we find evidence of spillover effects of the minimum wage increase on wages higher in the wage distribution, with the effects monotonically decreasing with wages but still present at 150 percent of the new minimum wage. The results are based on a difference-in-differences approach in which the treatment group is comprised of workers whose wages at the time of the introduction of the minimum wage raise were below the new minimum wage, and the control group is comprised of workers whose wages were slightly above the new minimum wage. The analyses are done at the level of individual workers using administrative data on the population of Slovenian labour force participants spanning the 2005-2012 period. The data permit us to precisely identify minimum wage recipients – thus overcoming a common problem in wage studies using administrative data – and track the individuals over time, which facilitates the precision of the estimates.

The paper is organized as follows. Section 2 provides the institutional background by describing the February 2010 Minimum Wage Law, presents the dynamics of nominal and relative minimum wages as well as the number of minimum wage earners after the Law took effect, and compares Slovenia's minimum wage to the one in other EU Member States. Section 3 describes data and methodology of the study. Section 4 presents the results of the effects of the minimum wage increase in March 2010 on employment transitions and wage distributions. Section 5 concludes.

### **Minimum wage in Slovenia**

**In Slovenia, a legally mandated minimum wage was introduced in 1995.**

The concept of the minimum wage replaced the system of “guaranteed wage” – a relic from the socialist past that relied on solidarity to

guarantee the payment of minimum wages.<sup>11</sup> The 1995 minimum wage law reflected the consensus among social partners to raise the prevailing minimum gross earnings to about 40 percent of the average national gross wage. It is estimated that at the time of introduction, the minimum wage de-facto increased by 48 percent (Laporšek 2014). Since 1995, minimum wage legislation has undergone numerous changes, most of them concerning the level of the minimum wage and the adjustment mechanism of the minimum wage to macroeconomic parameters (Kresal 2001, Brezigar Masten et al. 2010).

The most substantial changes in minimum wage legislation were introduced with the February 2010 Law on Minimum Wages. First, the law strongly increased the amount of the minimum wage – from 597 EUR to 734 EUR gross, or by 22.9 percent – to correspond to the value of the minimum consumption basket per person (see IMAD 2013). Second, the law altered the adjustment mechanism of the minimum wage to macroeconomic parameters. The new law introduced automatic, full indexation to consumer price index growth – and allowed for additional increases to reflect wage, employment or GDP growth (Article 3). Because of the unprecedented rate of increase, the February 2010 law stipulated that employers could apply for a gradual transition – consisting of three discrete jumps – to the new mandated minimum wage, to be completed by December 31<sup>st</sup>, 2011.<sup>12</sup>

The February 2010 Minimum Wage Law strongly increased the ratio between the minimum and the average nominal wage and helped the real minimum wage grow much faster than average real wage. In 2009, the ratio between the minimum and the average nominal wage was 41.2 percent, and it increased to 47.6 percent in 2010 (43.2 for firms with gradual adjustment schedule), 49.1 percent in 2011 (45.8 for firms with gradual adjustment schedule), 50 percent in 2012, and 51.5 in 2013 (Figure 1). Moreover, the February 2010 Minimum Wage Law created a huge divergence of growth between real minimum wage and real average wage. Compared to 2009, by 2013 the minimum wage in real terms increased by 31 percent (by 22.5 percent in 2010 alone – see Figure 1). In contrast, reflecting the decline of general economic activity as well as austerity measures in the public sector,

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<sup>11</sup> The solidarity reflected in the determination of the so-called "socially warranted earnings fund" of the firm (see Vodopivec 1993).

<sup>12</sup> The conditions for adopting a gradual transition were very lenient. A gradual increase of the minimum wage could be adopted by firms for which immediate transition would lead to large losses that would jeopardize the existence of these firms or to layoffs of a large number of workers for business reasons (Art. 9 of the Minimum Wage Law). According to the Labour Inspectorate (2010) a gradual transition to the stipulated minimum wage was adopted by 1611 companies.

the real average wage recorded growth only in 2010, when it grew by 1.8 percent, to be followed by small, steady decreases during 2011–13.<sup>13</sup>

It comes as no surprise that in the wake of February 2010 Minimum Wage Law, the number of minimum wage earners more than doubled. In February 2010, there were 17,552 minimum wage earners – 2.7 percent of total workforce, and in March 2010 that number increased to 43,325 – 6.7 percent of total workforce (Figure 2).<sup>14</sup> The number of minimum wage earners increased also in subsequent years so that in 2013, on average, there were 50,569 minimum wage earners – 8.3 percent of the workforce. The vast majority of minimum-wage earners (84 percent in 2013) were employed in the private sector. As regards sector of activity, almost 80 percent of all minimum wage earners was employed in four industries: manufacturing (31 percent), retail (18 percent), other business services (15 percent) and construction (12 percent). All together, market services employed 68 percent of all minimum wage earners (data for December 2013).

Growth in number of firms employing at least one minimum wage earner followed a similar pattern and sharply increased in March 2010. The number of firms with at least one minimum wage earner increased from 3243 (7.3 percent of all firms) in February 2010 to 7378 (16.8 percent of all firms) in March 2010 (Figure 3). A marked increase in the number of firms that employ at least one worker with the minimum wage is observed at the beginning of the year, reflecting the gradual adaptation to the new minimum wage (up to and including the year 2011) and the regular January legislative alignment with the consumer price index in the previous year. According to the latest available data, as of December 2013 there were 8507 firms (21.7 percent of all firms) employing at least one minimum wage earner.

The strong March 2010 increase of the minimum wage brought Slovenia to the forefront among the EU countries by the ratio of the minimum to the average wage. Among all 21 EU Member States that mandate a national minimum wage, in 2012 this ratio was the highest in France (49.8 percent), followed by Slovenia (48.3 percent) and Malta (46.8 percent) – see Table 1.<sup>15</sup> Slovenia's ratio exceeded the average of all 21 EU Member States by 10 percentage points – in most countries, this ratio ranged

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<sup>13</sup> In fact, positive aggregate private sector nominal wage growth during 2009–2013 was largely driven by composition effects in the structure of employment, as lower-paid workers suffered disproportionately large job losses during Slovenia's recession (Kajzer, Hribernik, Perko and Selan 2013).

<sup>14</sup> According to the Monthly Reports on Paid Wages (SORS 2014). Firms included in these reports cover 86 percent of total Slovenia's employment.

<sup>15</sup> Minimum wages in other countries – notably in Austria, Germany and Scandinavian countries – are determined via collective agreements (see Laporšek 2013). In Scandinavian countries, minimum wages tend to exceed government-mandated minimum wages of countries in continental Europe.



between 30 and 40 percent. Slovenia held second place, again behind France, also by the ratio of the minimum to the median wage (see Table 1).

Although several other countries have increased the real value of the minimum wage in recent years, Slovenia's adoption coincided with an unusually large contraction of GDP. Among the countries which during 2008–2012 increased the minimum wage in real terms, Slovenia's increase was by far the largest (followed by Slovakia, Latvia and Bulgaria). At the same time, Slovenia was one of three EU Member States that in this period recorded the highest real GDP decline (IMAD 2013). In contrast, the highest real GDP growth during this period occurred in Poland that recorded a reduction of the minimum wage in real terms.

## **Data and methodology**

### **Data**

The data used in this paper are created by linking several administrative databases covering the entire Slovenian workforce. For each worker, the data contains information on employment, unemployment and wages for the 2005–2012 period. Individuals' records from various databases are linked via their unique, masked personal identification number. The resulting database combines the following administrative data sources:

- (a) *Work history data.* It contains starting and ending dates of an employment spell, the type of appointment, occupation, employer identification code, and personal characteristics (gender, age, and education). The data are collected as part of social insurance and are maintained by the Statistical Office of Slovenia.
- (b) *Data on registered unemployment.* It contains starting and ending dates of an unemployment spell, destinations of exit from unemployment, as well as information on the receipt of unemployment insurance benefits. Personal and family characteristics pertaining to each spell are also included. The data are provided by the Employment Service of Slovenia.
- (c) *Worker earnings data.* It contains information on earnings associated with each employment spell of an individual (amount of earnings, number of hours worked, starting and ending date of earnings period). This database is provided by the Pension and Disability Insurance Institute of Slovenia.

In addition, the following two firm-level data sources are used:

- (a) *Firm-level minimum wage recipient data.* It contains information on gross wages paid for regular hours and overtime and data on number of workers and minimum wage earners at the firm level. The source of the data are 1-ZAP/M forms, maintained by the

Agency of the Republic of Slovenia for Public Legal Records and Related Services.

- (b) *Data on delayed adoption of the new minimum wage.* It contains information on the number of firms who have applied for a gradual, two-year delayed adoption of the minimum wage. The data are provided by the Labour Inspectorate of the Republic of Slovenia.

It has to be stressed that the rich database used in this analysis enhances the accuracy of identification of workers to be included in the treatment group beyond that of studies done for other countries. The effects of the minimum wage increase can be identified at a more granular level than in studies that exploit variation in regulatory binding sectors (e.g. Card and Krueger 1995; Machin, Manning & Rahman 2003) or regional variation in minimum wage levels (e.g. Card and Krueger 2000) that is commonly used in the literature. In addition, analyses of individual-level administrative data often suffer from measurement error in identifying minimum wage recipients (e.g. Currie and Fallick 1996, and Abowd et al. 2000; for a discussion on importance of a suitable datasets see also Stewart 2002): the nature of the data can make it difficult to precisely distinguish workers receiving minimum wages from their slightly higher paid counterparts, especially in the presence for overtime pay, bonuses, or part-time work. The richness of the data at hand facilitates an accurate identification of such workers – a critical component given that this information is used to form the treatment and control groups, as discussed below.

## **Methodology**

Below we outline the strategy to identify both employment and wage distribution effects of the minimum wage change, and then present the specification of estimated models for the analysis of labour market outcomes of interest: changes in employment transitions and distribution of wages.

### **Identification strategy**

To identify the effects of the minimum wage increase on selected labour market outcomes, in particular, to exclude potentially distorting factors which may systematically affect the outcomes of interest, we use a difference-in-differences approach based on “before-and-after” as well as “treatment-and-control” comparisons. As we are dealing with the examination of a legislative change, a proper experimental approach is not feasible. Instead, we employ a “quasi-experimental” approach where the policy change itself produces different groups of workers: some are directly affected by the minimum wage increase and hence form a natural treatment

group, while others are not directly affected and hence form a control group. Comparing the differences in labour market outcomes for these two groups before and after the minimum wage change thus identifies the effect of the change in the minimum wage level – and, moreover, arguably allows for a causal interpretation.

Speaking formally, we define  $D \in \{0,1\}$  as the treatment operator equal to 1 if an individual receives treatment (i.e. is subject to a binding minimum wage increase) and zero otherwise. Let  $Y(1)$  denote the treated outcome and  $Y(0)$  denote the non-treated outcome. Additionally, let  $Y_t$  and  $Y_{t+1}$  denote the outcomes prior to and after the 2010 minimum wage increases, respectively. The difference-in-differences estimator  $\theta_{did}$  is then given by

$$\theta_{DiD} = (E[Y_{t+1}(1) | D = 1] - E[Y_t(0) | D = 1]) - (E[Y_{t+1}(0) | D = 0] - E[Y_t(0) | D = 0]) \quad (1)$$

In order for the estimator  $\theta_{did}$  to provide an unbiased and consistent estimate of the average treatment effect in panel data, two assumptions must hold. First, the control and treatment groups must be subject to equal time trends – in this case, the underlying macroeconomic time trends must have affected the treatment and control groups equally. Secondly, treatment effects must be homogenous – i.e., the minimum wage increase must have impacted those in the treatment group in the same manner that a (counterfactual) increase would have affected the control group. Under these conditions,

$$\theta_{DiD} = E[Y_{t+1}(1) - Y_{t+1}(0)], \quad (2)$$

so that the difference-in-differences estimator  $\theta_{did}$  is an unbiased and consistent estimate of the average treatment effect.

Treatment and control groups are defined based on the position of workers in the wage distribution at the time of the introduction of the February 2010 law (see Table 2). The *treatment group* consists of workers who were directly affected by the legislative change, i.e., of workers whose wages at the time of the introduction of the February 2010 law were below the new minimum wage. This group is called a *sub-minimum group* ( $g_1$ ). The *control group I* consists of workers who, at the time of the introduction of the February 2010 law, received wages in the band between the new level of the minimum wage and the level of 1.2 times the new minimum wage. This group is called a *supra-minimum group* ( $g_2$ ). The residual *control group II* consists of high paid workers.

As workers in the treatment group differ in terms of how much their wage had to be increased to reach the new minimum wage, we divide this group into two sub-groups: (i) lower sub-minimum group, containing

workers who received wages between the old minimum wage and wage up to 10 percent higher than the old minimum wage; and (ii) upper sub-minimum group with wages higher than in the previous group but lower than the new minimum wage.

### Empirical model – effects on employment transitions

The effect of the minimum wage increase on the probability of remaining in employment is estimated on all individuals employed as of March 2010 and is modelled using the following specification:

$$Pr[e_{it+1} = 1 | e_{it} = 1] = \alpha_1 g_{1it} + \alpha_3 g_{3it} + x'_{it} \beta + \gamma_t + \varepsilon_{it}. \quad (3)$$

where the dependant variable is binary and equal to 1 if individual  $i$  was employed at time  $t + 1$  and 0 otherwise, conditional he/she was employed in time  $t$ . The variable  $g_{1it}$  is a binary variable equal to 1 if  $w_{it} \leq w_{it} < w_{it+1}$ , and 0 otherwise;  $g_{3it}$  is equal to 1 if  $w_{it+1} \times (1 + c) \leq w_{it}$  and 0 otherwise (see Table 2). The supra-minimum group  $g_2$ , which includes those for whom  $w_{it+1} \leq w_{it} < w_{it+1} \times (1 + c)$ , is the reference – control group. The vector  $x_{it}$  contains explanatory demographic variables for individual  $i$  in time  $t$ . These include gender, age, tenure at current employer, education, type of employment contract (fixed-term or permanent), economic activity of employer. Parameter  $\gamma_t$  captures the time varying effects and  $\varepsilon_{it}$  the stochastic error.

The model for estimating job-to-job transitions is identical to the one in (90) with the exception of the dependant variable, which is equal to 1 if an individual is employed at time  $t + 1$  at the same employer as in time  $t$  and 0 otherwise.

To analyse the impact of the changed legislation on transitions into employment (from unemployment or other jobs), future versions of this paper will also examine the above question using a competing risks semi-parametric framework that takes censoring into account. Under this framework, individuals can transition into multiple, competing states – in our case, into indefinite employment contracts, fixed-term employment contracts, or unemployment. Each of these  $K$  competing states are associated with a specific hazard function  $\lambda_k(t, p, X)$ :

$$\lambda_k(t, \mathbf{p}, \mathbf{X}) = \lambda_{k,0}(t) \cdot e^{(\mathbf{p}\gamma_k + \mathbf{X}\beta_k)} \quad (4)$$

where  $\mathbf{p}$  is a an indicator variable denoting the policy period,  $\mathbf{X}$  is a set of control variables,  $\lambda_{k,0}(t)$  is the non-parametric baseline hazard for state  $k$ , and  $\gamma_k$  and  $\beta_k$  are parameters to be estimated. Put differently, each specific hazard function is the instantaneous rate of transitioning into state  $k$  at time  $t$  conditional on survival until time  $t$  or later. A benefit of the competing risks

approach is that it can isolate the precise effect of the policy change by calculating the difference in the change of the hazard rate for transitioning to fixed-term employment  $\gamma_{fixed-term}$  and the hazard rate for transitioning to permanent employment  $\gamma_{permanent}$ . The coefficients in the model will be estimated via maximum likelihood method.

### **Empirical model – effects on wage distribution**

The spillover effects of the minimum wage increase are also estimated using the difference in differences framework, following similar approaches by Stewart (2012) and Neumark et al. (2004). The analysis compares changes in wages between the period preceding the large increase in the minimum wage with the following period across workers at different wage levels. We interpret disproportionate wage increases for individual closer to the new, higher minimum wage as spillover effects of the minimum wage increase.

The dependant variable in the model to be estimated is wage growth between consecutive years, denoted  $\frac{w_{2it} - w_{1it}}{w_{1it}}$ . Here we distinguish between periods without large minimum wage changes, and periods from the introduction of the new minimum wage in March 2010 onwards. The model to be estimated can be specified as

$$\frac{w_{2it} - w_{1it}}{w_{1it}} = \alpha_0 + \beta g_i + \gamma t_i + \theta g_i t_i + \delta x'_{it} + \varepsilon_{it}. \quad (5)$$

The variable  $g_i$  is a binary variable equal to 1 for individuals in the treatment group and 0 for those in the control. The variable  $t_i$  is equal to 0 for observations referring to periods without minimum wage changes and 1 otherwise. The parameter  $\theta$  denotes the difference-in-difference estimator of the effect of minimum wage increase. The vector  $x_{it}$  contains explanatory demographic variables for individual  $i$  in time  $t$ . These include gender, age, tenure at current employer, education, type of employment contract (fixed-term or permanent), economic activity of employer, and type of employer (e.g. sole proprietor, LLC).

The choice of observation period is important for accurately gauging the estimates of spillover effects. The baseline period ( $t_i = 0$ ) is defined as the year between September 2008 and September 2009. This choice is dictated by the prior minimum wage adjustments – in August 2008, the nominal minimum wage was increased by 4 percent, and in August 2009, the minimum wage increased by 1.4 percent. The latter change was arguably small compared to the 22.7 percent increase in March 2010. In order to ensure comparability, the follow-up period ( $t_i = 1$ ) is defined as the period from September 2009 and September 2010.

In an attempt to exclude the effect of factors which could indirectly affect the growth of an individual's earnings, we restrict the spillover analysis to a subset of the population. The sample on which the model is estimated is restricted to those employed full-time for the entirety of the period between 2008 and 2010 at a given employer. In addition, we exclude individuals whose educational credentials improved during this period. Also, we include only those employed in the non-agricultural business sector. In the public sector wage bargaining is highly centralized; in addition, comparably few workers are paid the minimum wage.

## **Results**

Below we present the results of the minimum wage increase in March 2010 on employment transitions and wage distribution.

### **The effect of the minimum wage increase on worker transitions**

Two types of worker transitions are analysed: separation from employment and transition to another job.

#### **Separation from employment**

The minimum wage increase in March 2010 had a negative effect on job retention. In comparison to the control group – the supra-minimum group – one year after the minimum wage increase workers of the lower sub-minimum group had 5.6 percent, and workers of the upper sub-minimum group had 1.8 percent lower probability of staying in employment (see Table 3, specification I). By contrast, high paid workers group had a 3.7 percent higher probability of staying in employment than workers in the control – the supra-minimum – group.

Other coefficients of specification I are also of interest. First, the probability of staying in employment increases with age and tenure (results that hold true also for other specifications presented in Table 3). One explanation for this finding relates to the layoff cost. For example, younger workers have lower tenure and are often involved in temporary forms of employment, resulting in lower dismissal costs for the employers. Second, the probability of staying in employment is higher for workers on permanent employment. This is an expected result, as the costs of the separation of worker under permanent contract are higher for both the worker and employer. Third, the probability of staying in employment is lower among low-education workers, possibly because low-education workers are less likely to quit given their lower re-employment prospects compared to high-education workers. And fourth, the probability of staying in employment is lower in service industries, where the share of minimum wage earners is considerably higher.

The adverse effects of the minimum wage increase on the probability of staying employed were higher for young and for low-education workers. As shown in specification II (Table 3), one year after the legislative change young workers in the lower sub-minimum group had 7.2 percent, and workers of the upper sub-minimum group had 2.2 percent lower probability of staying employed than comparable young workers in the supra-minimum group. Similar to the specification for all workers, high paid young workers also had a higher probability of staying in employment than workers in the control – the supra-minimum – group. Interestingly, the probability of staying in employment was higher among low-education young workers (Table 3, specification II).<sup>16</sup> As expected, the minimum wage hike also reduced the probability of job retention among older workers, but the magnitude of the marginal estimates is smaller than for young workers (Table 3, specification III). This reflects the disadvantaged position of the young in the labour market compared to older workers, a phenomenon well established in the literature.

Specifications IV and V (Table 3) present results for low- and high-education workers. They show that low-education workers in the treatment group – those low-education workers directly affected by the legislative change – had between 2.5 to 6.2 percent lower probability of staying employed than low-education workers in the supra-minimum group (see specification IV). Although the probability of staying employed decreased also for high-education workers (specification V), the relative differences between sub- and supra-minimum groups were smaller than among low-education workers. These results suggest that firms might have reacted to the minimum wage hike by substituting low-education workers by more productive, high-education workers or by avoiding hiring low-education workers. The estimates are in line with most of the empirical studies in the field (see Neumark and Wascher 2010 for an overview).

Estimates in Table 4 extend the results presented above by applying a multinomial probit model to analyse the effect of the minimum wage increase on the probability of making a transition from employment to non-employment, that is, by allowing for two types for exit: to unemployment and inactivity. The results are consistent with previous findings, showing that workers included in the treatment groups – in both lower and upper sub-minimum groups – were more likely to exit from employment to both unemployment and inactivity. The exit probability is especially high for transition into inactivity – workers in the sub-minimum group had 2.1 to 5.3

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<sup>16</sup> One possible explanation for this result is that young low-education workers have longer work experience than young high-education workers and, therefore, higher probability of being employed under the permanent contract.

percent higher probability of exiting to inactivity than workers in the supra-minimum group (see Table 4, specification II).

Results presented above compare the probability of staying employed between workers directly affected by the minimum wage increase and workers with slightly higher wages than the new minimum wage in the period after the legislative change. A more appropriate approach to estimate the effects of the new law is a difference-in-differences approach, comparing differences in probability of staying employed between sub- and supra-minimum groups before and after the change (see the section on identification strategy above).

The difference-in-differences approach confirms that the new minimum wage law had negative effect on job retention. As shown in Table 5, the difference in probability of staying employed for workers in the sub-minimum group in comparison to workers in the supra-minimum group additionally decreased in the period after the legislative change – from –0.7 percent in 2008–09 (–1.5 percent in 2009–10) to –2.8 percentage points in 2010–11. The results also show that the minimum wage increase had a disproportionally large negative effect on job retention of vulnerable groups of workers. For young workers, the difference in probability of staying employed between the sub-minimum and supra-minimum groups declined from –1.6 percent in 2008–09 (–2.3 percent in 2009–10) to –4.1 percentage points in 2010–11, and for low-education workers from –1.0 percent in 2008–09 (–1.7 percent in 2009–10) to –3.8 percent in 2010–11.

The above approach is not a full-fledged difference-in-differences approach, as the “before” and the “after” differences between treatment and control groups are estimated in separate regressions, and the difference-in-differences calculated from them. A more sophisticated approach – where the difference-in-differences estimate will be obtained as a parameter estimate in a regression – is underway. As another improvement to be included in the final version of the paper, we plan to estimate semi-parametric hazard rate model as alternative estimation methods to logit/probit models.

### **Probability of transition to another job**

The results also show that minimum wage hike increased the probability of job-to-job transitions. Table 6 shows that individuals in sub-minimum groups had a higher probability of changing job than comparable individuals in the control – the supra-minimum – group. The probability of moving to another job is especially high among workers in the lower sub-minimum group – they had 3.8 percent higher probability of being employed in another job after one year than comparable workers in the supra-minimum group (Table 6, specification I). A plausible interpretation of this result is



that these workers were more likely to lose their employment after the minimum wage increase and were forced to move to another job.

The probability of changing jobs was higher among young and low-education workers. Young workers in the lower sub-minimum group had 4.1 percent, and those in upper sub-minimum group 1.7 percent, higher probability of moving to another job than young workers in the control – the supra-minimum – group (Table 6, specification II). Similarly, low-education workers in the lower sub-minimum group had 4.3 percent, and those in upper sub-minimum group 2.8 percent, higher probability of moving to another job than low-education workers in the control – the supra-minimum – group (Table 6, specification IV). Noteworthy are also parameter estimates of control variables. For example, women and workers with high tenure are less likely to change jobs, and transitions between jobs are less likely to occur in industrial activities as compared to market services.

How does the probability of job-to-job transitions differ between the old and the new minimum wage laws? Comparison of estimates (Table 7) shows that under the new law, workers in the treatment group – those directly affected by the minimum wage increase – were relatively more likely to have changed their jobs than under the old law. That is, the difference in probability of changing job for workers in the sub-minimum in comparison to the supra-minimum group increased in the period after the minimum wage increase from 2 percent in 2009–10 to 2.8 percent in 2010–11. The probability of changing job increased especially among young workers (from 1.1 to 2.4), whereas there were no major differences among low-education workers.

### **The effect of the minimum wage increase on distribution of wages**

The increase in the minimum wage in March 2010 has remarkably increased the concentration of low wage workers at the minimum. As shown in Figure 4, the legislative change caused an increased concentration at the bottom of the wage distribution and, due to a sharp increase of the minimum wage earners, created a spike at the minimum. A small concentration of minimum wage earners can be also observed at the reduced minimum wage rate in 2010, which was applied by firms in financial distress (those firms could adhere to a gradual transition to a new minimum wage, see above). The effect of the minimum wage increase on the wage distribution was more pronounced in market services, where the share of minimum wage earners was high also before the legislative change (see Figure 5).

**The minimum wage hike exacerbated disparities in the wage distributions between young and adult workers as well between low- and high-education workers.** As shown in Figures 6 and 7, the new law increased the concentration of minimum wage earners at the minimum

among young workers and especially among low-education workers. In this group we can also observe considerable spikes at the reduced minimum wage rate, implying that a larger share of these workers were employed in firms in financial difficulties. Interestingly, the concentration of minimum wage earners increased also among high-education workers, yet the effect was rather small.

**The minimum wage change also coincided with wage increases higher up in the wage distribution, although at diminishing rate.** Table 8 reports the regression difference-in-differences estimates on the effect of minimum wage increase on wage growth. The estimates reveal positive and statistically significant spillover effects of the minimum wage increase that are more pronounced for wage levels near the new minimum wage. In particular, workers in the lowest treatment group – whose wages were up to 10 percent higher than the new minimum wage – recorded 3.4 percentage points higher wage growth compared to workers in the control group I. For workers in higher treatment groups – those higher up in the wage distribution – the estimated elasticities become smaller, although they are still statistically significant.

The robustness of the above results is confirmed by using an alternative control group (control group II): workers with wages between the median and the average wage (before the minimum wage increase). In this case, the spillover effects are even more pronounced, also due to the lower growth of control group wages. For example, wages of workers in the lowest treatment group – those with up to 10 percent higher wage than the new minimum wage – have exceeded the growth of the control group II wages by 4.5 percentage points. The spillover effects are statistically significant, but monotonically decreasing, for other treatment groups with higher wages.

Due to considerable differences in the wage distribution and in the concentration of minimum wage earners at the minimum between industries, we estimated spillover effects also separately for workers employed in industrial activities and in market services (Table 9). Spillover effects are observed in both sectors, with more pronounced effects recorded in market services. Compared to control group I, wages of workers in the lowest treatment group increased by up to 2 percentage points in industrial activities and by up to 4.4 percentage points in market services. Spillover effects extend also higher up in the wage distribution, especially in the market services.

## Conclusion

Based on rich microlevel data, this paper analyses the effects of the introduction of the February 2010 minimum wage law in Slovenia on transitions from employment and on distribution of wages. The results show

that the resulting minimum wage hike increased the probability of transitions from employment – to unemployment, inactivity and another job – for workers directly affected by the minimum wage increase, an effect particularly pronounced for young and low-education workers. Moreover, the minimum wage hike increased the number of minimum wage recipients, created a spike at the bottom of wage distribution, and via spillover effect statistically significantly increased wages that were up to 30 percent higher than the new minimum wage.

The above results underpin a key dilemma in setting the minimum wages: while the minimum wage increase helps to redistribute earnings to low-paid workers, this redistribution may well happen at the expense of employment, an effect that disproportionally affects precisely the groups the minimum wage is intended to help: the young and low-education workers. To be able to provide more reliable guidance for Slovenian policymakers, analysis of several additional aspects related to the minimum wage hike are of essence, ranging from obtaining a more precise estimate of the jobs shed, assessing the change in the share of earnings going to low-paid workers, and, above all, delving into the productivity consequences of the minimum wage hike – both short- and long-term ones. Minimum wage policy can affect productivity through a variety of channels, through substitution effects and adjustments in technology and in business processes.

It has to be stressed that the above results are preliminary, to be refined with further, more detailed analyses. Among others, we will complement the empirical results of logit/probit models by estimating hazard rate models, and improve the application of the difference-in-differences method in estimating employment transition models by directly estimating the average treatment effect. In addition, we intend to further verify the legitimacy of the construction of the treatment and control groups – a necessary condition for interpreting the estimates as reflecting causality and not merely statistical association.

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## Tables and figures

**Table 1:** The minimum wage as the percentage of average and median wages of workers employed full time in EU member states, 2012

% average wage		% median wage	
France	49.8	France	61.5
Slovenia	48.3	Slovenia	59.5
Malta	46.8	Portugal	57.7
Belgium	44.6	Hungary	53.9
Ireland	43.7	Latvia	50.9
The Netherlands	41.2	Belgium	50.7
Hungary	39.6	Lithuania	47.8
Portugal	39.6	Ireland	47.6
United Kingdom	38.8	United Kingdom	47.2
Latvia	38	Slovakia	47
Poland	37.9	The Netherlands	46.9
Bulgaria	37.8	Poland	46.5
Slovakia	36.8	Romania	45.2
Lithuania	35.7	Spain	44.2
Croatia	35.6	Greece	43.4
Spain	34.9	Luxembourg	42
Luxembourg	34.5	Czech Republic	36
Romania	31.2	Estonia	35.7
Czech Republic	30.6	Bulgaria	..
Estonia	30	Croatia	..
Greece	29.5	Malta	..
<b>Average</b>	<b>38.3</b>	<b>Average</b>	<b>48.6</b>

### Notes:

Data for Bulgaria, Croatia and Malta were collected from Eurostat (2014). Data for other countries were obtained from OECD.Stat (2014). Data gathered from OECD.Stat refer to all employed workers, whereas data from Eurostat only to workers employed in activities B – S (NACE Rev. 2).

.. no data available

**Sources:** Eurostat 2014; OECD.Stat 2014.

**Table 2:** Definition of treatment and control groups

Name of the group	Purpose	Condition
g <sub>1</sub> : Sub-minimum group	Treatment	$w_{it} \leq w_{it} < w_{t+1}$
g <sub>2</sub> : Supra-minimum group	Control I	$w_{t+1} \leq w_{it} < w_{t+1} \times (1 + c)$
g <sub>3</sub> : High-paid workers	Control II	$w_{t+1} \times (1 + c) \leq w_{it}$

**Legend:**  $w_{it}$  denotes wage of individual  $i$  in the period  $t$  (i.e., before the minimum wage increase),  $w_{t+1}$  is the minimum wage in period  $t$ ,  $w_{t+1}$  is the minimum wage in period  $t + 1$  (i.e., after the minimum wage increase),  $c$  denotes the width of the band of the control group (for example, 20 percent of the new minimum wage).

**Table 3:** Probability of staying employed one year after the minimum wage increase, (probit) marginal effects

	<b>All workers</b>	<b>Young workers (age ≤ 30)</b>	<b>Older workers (age &gt; 30)</b>	<b>Low- education workers</b>	<b>High- education workers</b>
	I	II	III	IV	V
<i>Reference group: workers with wages up to 20 percent higher than the new minimum wage (supra-minimum group)</i>					
Lower sub- minimum group	<b>-0.056***</b> (0.001)	<b>-0.072***</b> (0.003)	<b>-0.053***</b> (0.002)	<b>-0.062***</b> (0.002)	<b>-0.051***</b> (0.002)
Upper sub- minimum group	<b>-0.018***</b> (0.001)	<b>-0.022***</b> (0.003)	<b>-0.018***</b> (0.001)	<b>-0.025***</b> (0.002)	<b>-0.015***</b> (0.001)
High-paid workers	<b>0.037***</b> (0.001)	<b>0.047***</b> (0.003)	<b>0.037**</b> (0.001)	<b>0.027***</b> (0.002)	<b>0.043***</b> (0.001)
<i>Explanatory variables (all variables, with exception of age and tenure, are binary)</i>					
Women	-0.001 (0.001)	-0.013*** (0.002)	0.001 (0.001)	-0.005*** (0.001)	0.001 (0.001)
Age	0.031*** (0.000)	0.136*** (0.009)	0.036*** (0.000)	0.038*** (0.000)	0.026*** (0.000)
Age <sup>2</sup>	-0.000*** (0.000)	-0.002*** (0.000)	-0.000*** (0.000)	-0.000*** (0.000)	-0.000*** (0.000)
Tenure	0.003*** (0.000)	0.003*** (0.001)	0.004*** (0.001)	0.004*** (0.000)	0.002*** (0.000)
Low-education workers	-0.005*** (0.001)	0.016*** (0.002)	-0.009*** (0.001)		
Permanent employment	0.049*** (0.001)	0.081*** (0.002)	0.043*** (0.001)	0.058*** (0.001)	0.045*** (0.001)
Industrial activities	0.011*** (0.001)	0.049*** (0.003)	0.007*** (0.001)	0.016*** (0.001)	0.009*** (0.001)
Pseudo R <sup>2</sup>	0.10	0.10	0.12	0.11	0.12
Number of observations	697,063	83,134	613,929	276,439	420,624

**Statistical significance:** \*\*\*  $p < 0.01$ , \*\*  $p < 0.05$ , \*  $p < 0.1$

**Notes:**

[1] The dependent variable: probability of staying employed in period  $t + 1$ , conditional on employment in period  $t$ .

[2] Robust standard errors in parentheses.

**Table 4:** Multinomial probit model of transition probabilities (reference groups: workers who stayed employed)

	Exit to unemployment I.	Exit to inactivity II.
<i>Reference group: workers whose wages are up to 20 percent higher than the new minimum wage (supra-minimum group)</i>		
Lower sub-minimum group	<b>0.011***</b> (0.001)	<b>0.053***</b> (0.002)
Upper sub-minimum group	<b>0.007***</b> (0.001)	<b>0.021***</b> (0.001)
High-paid workers	-0.032*** (0.001)	-0.021*** (0.001)
<i>Explanatory variables (all variables, with exception of age and tenure, are binary)</i>		
Women	-0.002*** (0.001)	-0.001 (0.001)
Age	-0.012*** (0.000)	-0.023*** (0.001)
Age <sup>2</sup>	0.000*** (0.000)	0.000*** (0.000)
Tenure	0.004*** (0.000)	0.003*** (0.000)
Low-education workers	-0.022*** (0.001)	-0.045*** (0.001)
Permanent employment	-0.005** (0.001)	0.002*** (0.001)
Pseudo R <sup>2</sup>	0.14	0.17
Number of observations	662,634	662,634

**Statistical significance:** \*\*\*  $p < 0.01$ , \*\*  $p < 0.05$ , \*  $p < 0.1$

**Notes:**

[1] The analysis includes workers, who were employed in March 2010. The probability of exit to non-employment is estimated one year after the legislative change.

[2] Robust standard errors in parentheses.

**Table 5:** Probability of staying employed (marginal effects) – comparison of estimates before and after the legislative change

<i>Reference group: workers whose wages are up to 20 percent higher than the new minimum wage (supra-minimum group)</i>	Before the legislative change		After the legislative change
	2008–2009	2009–2010	2010–2011
All workers	-0,007*** (0,001)	-0,015*** (0,001)	-0,028*** (0,000)
Young workers	-0,016*** (0,001)	-0,023*** (0,001)	-0,041*** (0,001)
Low-education workers	-0,010*** (0,001)	-0,017*** (0,001)	-0,038*** (0,000)

**Statistical significance:** \*\*\*  $p < 0.01$ , \*\*  $p < 0.05$ , \*  $p < 0.1$

**Notes:**

[1] The dependent variable: probability of staying in employed in period  $t + 1$ , conditionally that the person was employed in period  $t$ .

[2] For each specification we estimated the conditional probit model. We present only marginal effects for the sub-minimum groups or workers, who have been directly affected by the legislative change. The parameter estimates of other explanatory variables are similar to those in Table 3.



**Table 6:** Probability of changing job one year after the legislative change, marginal effects

	All workers	Young workers (age ≤ 30)	Older workers (age > 30)	Low- education workers	High- education workers
	I	II	III	IV	V
<i>Reference group: workers whose wages are up to 20 percent higher than the new minimum wage (supra-minimum group)</i>					
Lower sub-minimum group	<b>0,038***</b> (0,002)	<b>0,041***</b> (0,006)	<b>0,039***</b> (0,002)	<b>0,043***</b> (0,002)	<b>0,036***</b> (0,003)
Upper sub-minimum group	<b>0,025***</b> (0,001)	<b>0,017***</b> (0,004)	<b>0,026***</b> (0,001)	<b>0,028***</b> (0,002)	<b>0,023***</b> (0,002)
High-paid workers	-0,048*** (0,001)	-0,070*** (0,004)	-0,045*** (0,001)	-0,047*** (0,002)	-0,049*** (0,001)
<i>Explanatory variables (all variables, with exception of age and tenure, are binary)</i>					
Women	-0,021*** (0,001)	0,002*** (0,003)	-0,025*** (0,001)	-0,030*** (0,009)	-0,017*** (0,001)
Age	-0,004*** (0,000)	0,012 (0,014)	-0,003*** (0,000)	0,001* (0,001)	-0,007*** (0,000)
Age <sup>2</sup>	0,000*** (0,000)	0,000*** (0,000)	0,000*** (0,000)	-0,000*** (0,000)	-0,000*** (0,000)
Tenure	-0,009*** (0,001)	-0,008*** (0,001)	-0,012*** (0,002)	-0,005*** (0,001)	-0,003*** (0,001)
Low-education workers	-0,007*** (0,001)	-0,029*** (0,003)	-0,005*** (0,001)		
Permanent employment	0,003*** (0,001)	0,009*** (0,003)	0,007*** (0,001)	0,001*** (0,002)	0,006*** (0,001)
Industrial activities	-0,037*** (0,001)	-0,129*** (0,005)	-0,028*** (0,001)	-0,042*** (0,001)	-0,032*** (0,001)
Pseudo R <sup>2</sup>	0,09	0,11	0,11	0,08	0,09
Number of observations	638,753	74,455	564,298	247,706	391,047

Statistical significance: \*\*\*  $p < 0.01$ , \*\*  $p < 0.05$ , \*  $p < 0.1$

**Notes:**

[1] The dependent variable: probability of changing job in period  $t + 1$ , conditional on employment in period  $t$ .

[2] Robust standard errors in parentheses.

**Table 7: Probability of changing employer (marginal effects) – comparison before and after the legislative change**

<b>Reference group: workers whose wages are up to 20 percent higher than the new minimum wage (supra-minimum group)</b>	<b>Before the legislative change</b>	<b>After the legislative change</b>
	<i>2009–2010</i>	<i>2010–2011</i>
All workers	–0,020*** (0,001)	0,028*** (0,001)
Young workers	0,011** (0,004)	0,024*** (0,001)
Low-education workers	0,028*** (0,001)	0,031*** (0,002)

**Statistical significance:** \*\*\*  $p < 0.01$ , \*\*  $p < 0.05$ , \*  $p < 0.1$

**Notes:**

[1] The dependent variable: probability of changing job in period  $t + 1$ , conditionally that the person was employed in period  $t$ .

[2] For each specification we estimated the conditional probit model. We present only marginal effects for the sub-minimum groups or workers, who have been directly affected by the legislative change. The direction of other explanatory variables is similar as in Table 6.

**Table 8: Regression difference-in-differences estimates of the spillover effect**

<b>Treatment group</b> (% of minimum wage in March 2010)	<i>Control group I</i>	<i>Control group II</i>
100 – 110 %	0.034*** (0.002)	0.045*** (0.001)
111 – 120 %	0.024*** (0.002)	0.035*** (0.001)
121 – 130 %	0.017*** (0.002)	0.028*** (0.001)
131 – 140 %	0.012*** (0.002)	0.023*** (0.001)
141 – 150 %	0.009*** (0.002)	0.020 (0.001)

**Statistical significance:** \*\*\*  $p < 0.01$ , \*\*  $p < 0.05$ , \*  $p < 0.1$

**Notes:**

[1] The dependent variable: wage growth between year 1 and 2. In the table above we present only regression coefficients and standard errors for the difference-in-differences estimates (parameter  $\theta$ ).

[2] Control group I: workers with wages higher than 150 percent of the new minimum wage, but lower than the median wage. Control group II: workers with wages higher than the median wage, but lower than the average wage.

[3] Robust standard errors in parentheses.

[4] Number of observations: 72.910 – 83.552 in specifications with control group I; and 134.584 – 145.226 in specifications with control group II.

**Table 9:** Regression difference-in-differences estimates of the spillover effect, industry and market services

<b>Experimental group</b> (% of minimum wage in March 2010)	<b>Industry</b>		<b>Market services</b>	
	<i>Control group I</i>	<i>Control group II</i>	<i>Control group I</i>	<i>Control group II</i>
	I	II	III	IV
100 – 110 %	0.020*** (0.002)	0.028*** (0.002)	0.044*** (0.002)	0.055*** (0.002)
111 – 120 %	0.015*** (0.002)	0.022*** (0.002)	0.030*** (0.002)	0.041*** (0.002)
121 – 130 %	0.010*** (0.002)	0.017*** (0.002)	0.021*** (0.002)	0.032*** (0.002)
131 – 140 %	0.007** (0.002)	0.014*** (0.002)	0.014*** (0.002)	0.025*** (0.002)
141 – 150 %	0.005** (0.002)	0.013*** (0.002)	0.011*** (0.002)	0.022*** (0.002)

**Statistical significance:** \*\*\*  $p < 0.01$ , \*\*  $p < 0.05$ , \*  $p < 0.1$

**Notes:**

[1] The dependent variable: wage growth between year 1 and 2. In the table above we present only regression coefficients and standard errors for the difference-in-differences estimates (parameter  $\theta$ ).

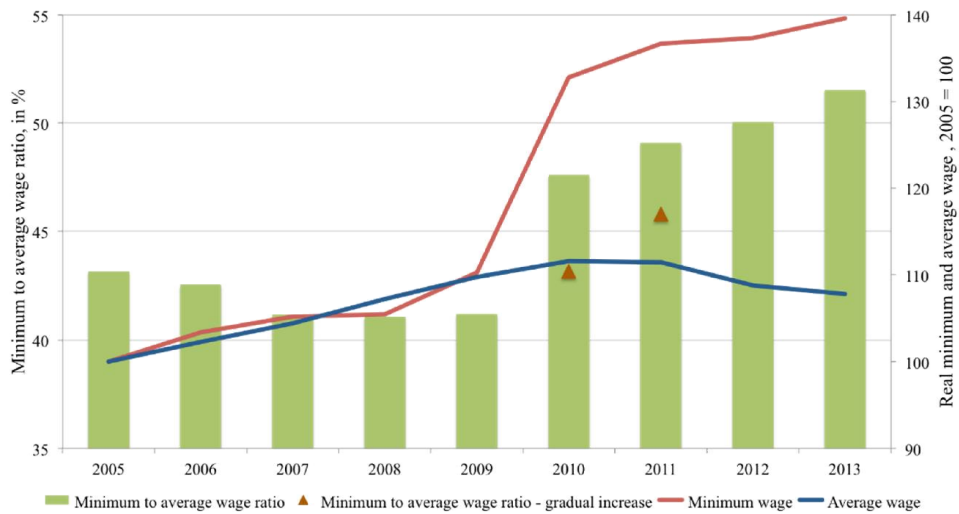
[2] Control group 1: workers with wages higher than 150 percent of the new minimum wage, but lower than the median wage. Control group II: workers with wages higher than the median wage, but lower than the average wage.

[3] Robust standard errors in parentheses.

[4] According to the NACE Rev. 2, industrial sectors are B–E, whereas market services refer to industries F–N and R–S.

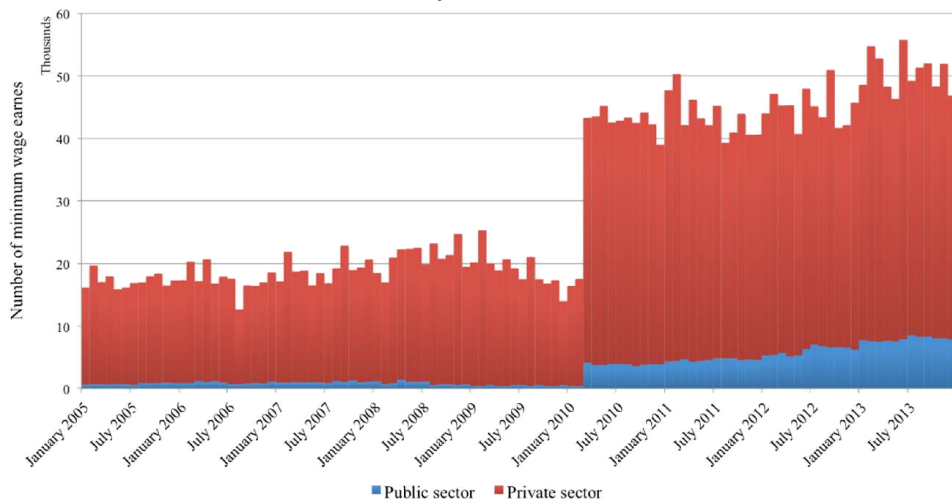
[5] Number of observations in industry sector: 31.361 – 35.478 in specifications with control group I; and 53.994 – 56.176 in specifications with control group II. Number of observations in market services: 40.733 – 48.978 in specifications with control group I; and 79.273 – 87.518 in specifications with control group II.

**Figure 1:** The ratio between the minimum and average gross wage, real minimum wages and real average gross wages, 2005–2013



**Sources:** Authors' calculation based on data from SORS (2014) and overview of minimum wage legislation.

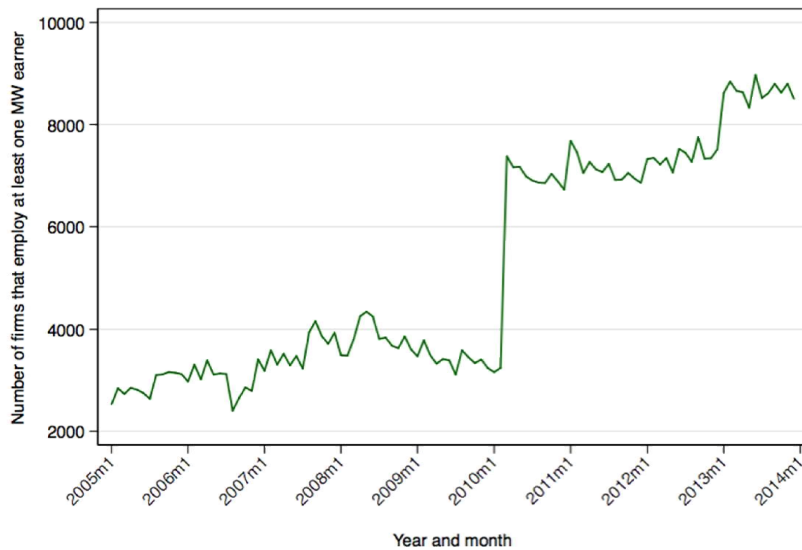
**Figure 2:** Number of workers in firms that receive the minimum wage, private and public sectors, January 2005-December 2013



**Note:** Public sector includes to the following industries: public administration and defence, compulsory social security, education, and health and social work.

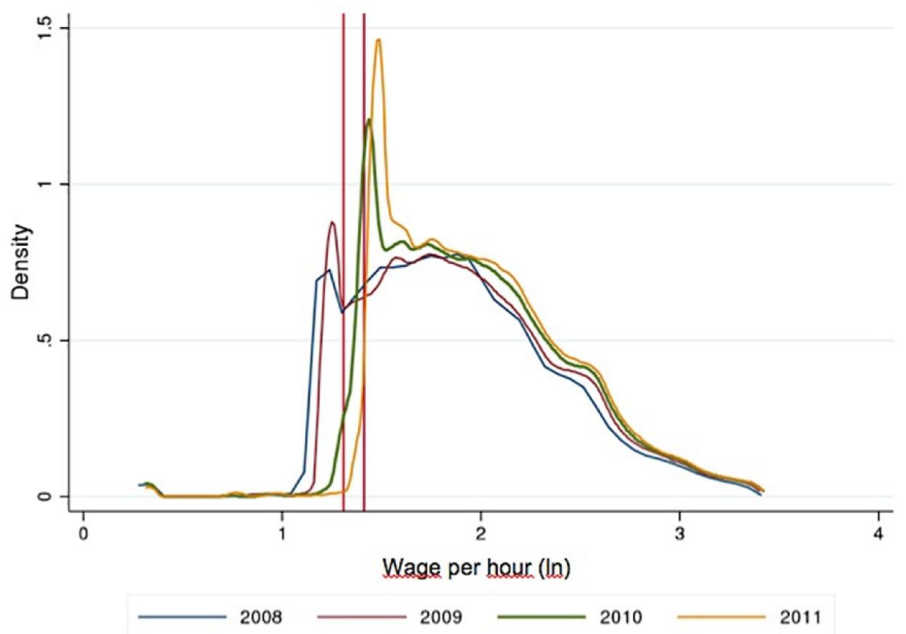
**Source:** SORS 2014.

**Figure 3:** Number of firms that employ at least one minimum wage earner, January 2005-December 2013



Source: SORS 2014.

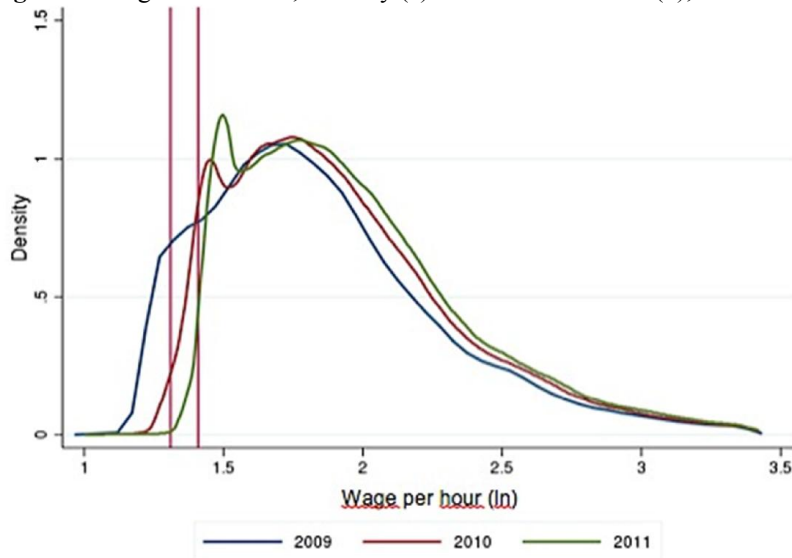
**Figure 4:** Wage distribution, 2009–2011



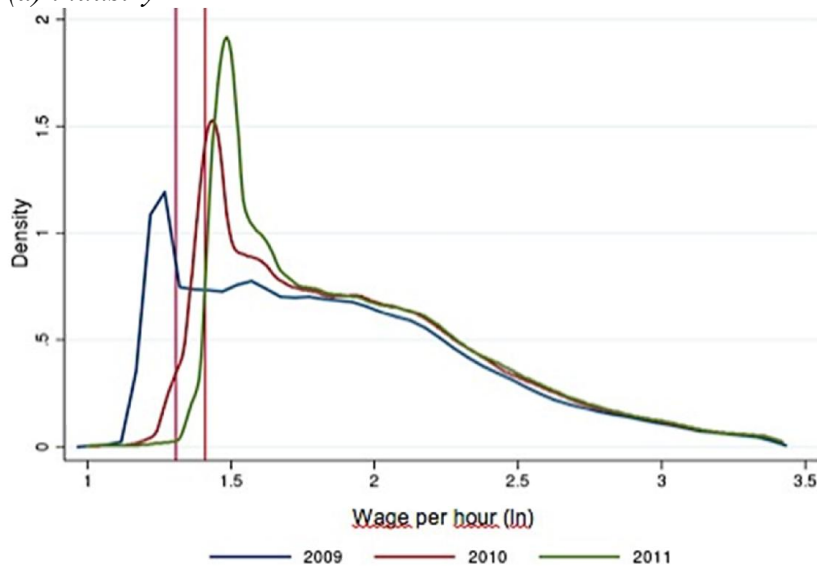
**Note:**

[1] First red vertical line (from left to right) denotes the reduced minimum wage rate in March 2010 for firms entitled to gradual increase of the minimum wage (i. e., 3.7 euro per hour); the second line indicates the regular minimum wage rate in March 2010 (i.e., 4,1 euro per hour).

**Figure 5:** Wage distribution, industry (a) and market services (b), 2009–2011



*(a) industry*

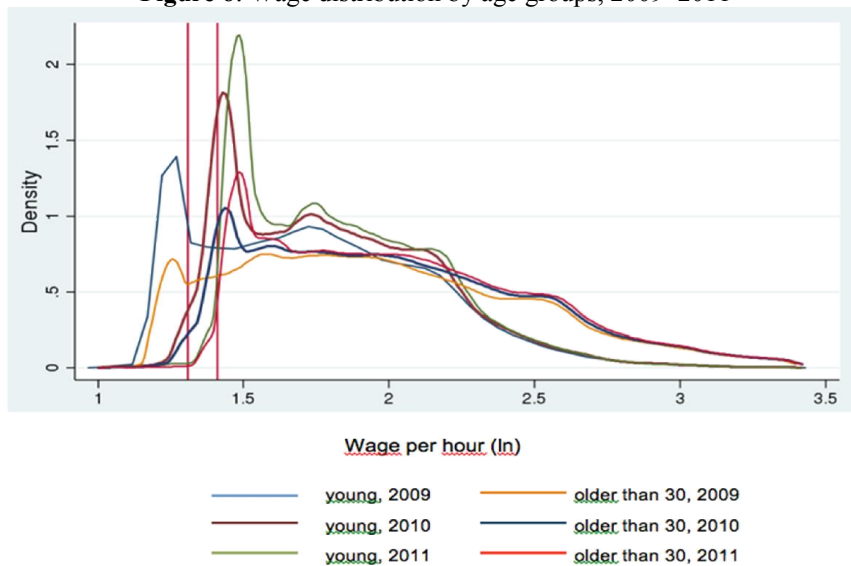


*(b) market services*

**Notes:**

- [1] According to Nace Rev. 2, industrial activities include activities B–E, whereas market services activities F–N and R–S.
- [2] First red vertical line (from left to right) denotes the reduced minimum wage rate in March 2010 for firms entitled to gradual increase of the minimum wage (i. e., 3.7 euro per hour); the second line indicates the regular

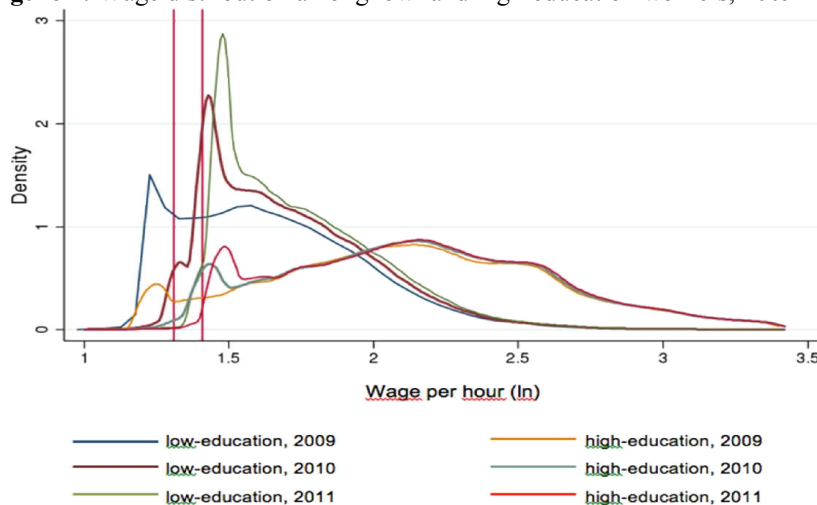
**Figure 6: Wage distribution by age groups, 2009–2011**



**Note:**

[1] First red vertical line (from left to right) denotes the reduced minimum wage rate in March 2010 for firms entitled to gradual increase of the minimum wage (i. e., 3.7 euro per hour); the second line indicates the regular minimum wage rate in March 2010 (i.e., 4,1 euro per hour).

**Figure 7: Wage distribution among low- and high-education workers, 2009–2011**



**Note:**

[1] First red vertical line (from left to right) denotes the reduced minimum wage rate in March 2010 for firms entitled to gradual increase of the minimum wage (i. e., 3.7 euro per hour); the second line indicates the regular minimum wage rate in March 2010 (i.e., 4,1 euro per hour).

# **VALUES IN CONSUMPTION SOCIETY. A COMPARISON OF CONSUMPTION SOCIETY IN POLAND AND IN SLOVAKIA**

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## **Abstract**

The research project, “Values in Consumption Society. A Comparison of Consumption Society in Poland and in Slovakia” aims to present the current perception of values among young Slovaks and Poles, as well as to show recent changes in the understanding of values in Poland and in Slovakia. This project will also attempt to make a diagnosis regarding the spread of consumption attitudes as well as the growing role and meaning of money in the life of young people at the beginning of the 21st century.

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**Keywords:** Consumption, values, society

## **Introduction**

A society of consumption was created during the process of multiple changes to the twentieth century world. Its very rapid development took place in the late twentieth century. Today, the phenomenon of consumerism and consumption society is highly prevalent in all European societies. Also, populations of the Communist Bloc, which for many years remained separate from the world by the Iron Curtain, quickly took over patterns, principles and the rules of the Western European world of consumption. These societies have also evolved into consumption societies.

A group of 72 students from the Constantine the Philosopher University in Nitra, Slovakia and 56 students from the John Paul II Pontifical University in Krakow took a part in the research. The students from Slovakia were studying ethics and ethical education and the students from Poland, philosophy, social work, and family studies.

## **I.**

Please note that even at the preparatory stage of the project, the draft stating the objectives and hypothesis, it became evident that the level of



development in consumption society in Slovakia was different than in Poland. We should then observe how deep the differences are, if there are any similarities and what the reasons could be for the differences that occur in the perception of values. The formulated working hypothesis assumes that Slovak society, due to its geo-political location and for historical reasons, did not undergo the processes of commercialization, marketization, and globalization as strongly as Polish society. In Polish society, the processes of commercialization, marketization, globalization are occurring very quickly and covers many areas of life changing it into a society of consumption. In both societies – Polish and Slovak – similar changes in the perception of values has occurred and currently material values play a more important role. As a result of the research a hierarchy of the values of the younger generation became evident. Also, the similarities and differences between the dominating hierarchies of the values among the representatives of the younger generation of both societies became clear.

Out of the 100 questionnaires distributed to the Polish group over 90 responses were returned, but only 56 were legible and or fully completed. The rest of the questionnaires had to be rejected as incomplete or illegible. At this point the first differences between the Polish and Slovak students can be seen. From the Slovak group 72 legible and completed questionnaires were returned (90 questionnaires were distributed). The education system in Poland allows students to obtain a dyslexic certificate and throughout the period of education these students are not sufficiently motivated to write carefully. By the time they begin university studies their handwriting is already barely legible, which became evident in the questionnaires. At the university level a certificate of dyslexia is no longer accepted, however, students still write illegibly.

Consumer society is changing both the social structure and the worldview of people who have become consumers. The symbol of consumer society is the large shopping center (shopping mall), known as the shopping gallery. George Ritzer calls it "a temple of consumption" in which people indulge in an action that makes them happy and this confirms that they are increasing and acquiring their value as consumers, that means they are buying, buying, and consuming<sup>17</sup>. The world of consumption and consumption society is governed by the principle "I consume, therefore I am." As a result of consumption the consumer feels happy, consumption ensures happiness for the individual.<sup>18</sup>

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<sup>17</sup> G. Ritzer, *Magiczny świat konsumpcji*, Warszawa 2009, passim.

<sup>18</sup> J. Baudrillard, *Spółczesność konsumpcyjna. Jego mity i struktury*, Warszawa 2006, p. 49. According to Baudrillard the happiness is an equivalent of salvation, the consumer satisfies spiritual hunger by buying and by consuming.

The world of consumption has an entire range of rules and principles in force, which differ strongly from the rules specific to older societies. Quantity has become more important than quality and speed is better than accuracy. The satisfaction of, mainly temporary, desires becomes more important, than the implementation of far-sighted plans. What is important is the here and now, the future remains unknown, and attention should be focused on today. Above all, however, a thing that is new dominates as the value of most importance and, unfortunately, it is the hardest to maintain. An item that has just been purchased is already old at the time of payment. The buyer then must immediately begin efforts to exchange it for a new one, which is only better because it is new.

All of these rules and principles governing society and the world of consumption have changed the consumer's hierarchy of the values and this change is far-reaching. "New values" – as Jean Baudrillard calls them are appearing in this reality. In the past these "new values" were not very important or had no weight attached to them<sup>19</sup>. According to the rules of the world of consumption the most important values for the consumer are today material values (including money); spiritual values seem to have disappeared or they have lost their primary position. Among the "new values" the most important are entertainment and free time. The work ethic has been replaced by the aesthetic of work and the ethos of free time.

Consumerism also creates new social groups. Sociologists propose to divide consumers into three or even four groups in Poland. The first group is what would be called the "consumer aristocracy", which is only five percent of consumers. This group is the very rich or has a very high-income, they are well-educated and work in management positions or on supervisory boards. The aristocratic consumer buys a product of the highest quality, so expensive, that it is not available for a normal individual (for example a brand-name handbag that costs as much as the annual income of an assistant with a PhD employed at a university in Poland). The second group is the consumer proletariat. This is a large group, which buys consciously. They take a long time to choose, they limited shopping to goods that are necessary, and what is very characteristic is that they do not buy more than they need now. This group mostly consists of young people with a higher education or those who are still studying. They call his attitude "sustainable consumption." They buy in discount stores, they visit relatively inexpensive fast food restaurants, and they do not like to spend time on physical activity. The third group includes consumers susceptible to stimuli, they are also easy

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<sup>19</sup> Baudrillard includes in the new values: clean air, clean water, silence, and a nice view outside the window - these are the values that currently received a price. A person that has enough money can afford to buy them; the poor are deprived of them. See.: J. Baudrillard, *Spółczesność konsumpcyjna. Języki i struktury*, op. cit., p. 59-61.

to manipulate by means of advertising. These consumers spend a lot of time in shopping malls, they are young and come mainly from small towns, they are work in administration or are skilled trade workers.<sup>20</sup> The fourth group is called the "deficient consumer" - this group includes the elderly, the poorly educated and those who are financially not very well off.<sup>21</sup>

Due to age and education, all of the respondents seem to belong to the second group - the consumer proletariat.

The heart of the world of consumption are shopping malls that George Ritzer calls the "temples of world of consumption" because they very often play the role of a substitute for holy places in consumption society.<sup>22</sup>

Modern shopping malls are visited by crowds of consumers who can in one convenient location meet all their needs - do shopping, eat Sunday dinner, go to the barber, bring things to the laundry, leave their children at the play area where, for a small fee, professionally trained specialists take care of them. Because of the great role that shopping malls play in the world of consumerism the first question of the questionnaire was concerned with the amount of time spent by students in shopping malls.

40% of the Slovak students stated that they frequented a shopping center once a week, 45% visited a shopping mall because they need to go shopping. Only 9% were at a shopping mall every day, and 4% stated they visit a shopping mall once a month. Only 1.4% acknowledged that they avoid frequenting big shopping malls. 85% of the students polled regularly visit shopping malls.

48% of the Polish students declared frequenting shopping malls for the purpose of shopping, 25% go once a month to a big shopping center, and 14% avoid frequenting shopping malls all together. 13% did not provide answers to the question. In total, 73% regularly visited a shopping mall and are influenced by its reality.<sup>23</sup>

The level of development of consumption society in Slovakia is different than in Poland and during the research activity in Slovakia I was able to confirm this. The differences between Poland and Slovakia are quite profound, but I was also able to find some similarities.

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<sup>20</sup> See: M. Górnik – Durose, B. Mróz, A. M. Zawadzka, *Zakończenie. Współczesna oferta supermarketu szczęścia – nowe zjawiska w zachowaniach konsumenckich. Trójgłos interdyscyplinarny*, w: red. M. Górnik – Durose, A.M. Zawadzka, „W supermarkecie szczęścia. O różnorodności zachowań konsumenckich w kontekście jakości życia”, wyd. Difin, Warszawa 2012, s. 340-341 (s. 321-345) compare: MANIA KUPOWANIA, CZYLI O POSTAWACH KONSUMENCKICH POLAKÓW, CBOS, BS/5/2011, [http://www.cbos.pl/SPISKOM.POL/2011/K\\_005\\_11.PDF](http://www.cbos.pl/SPISKOM.POL/2011/K_005_11.PDF), 08.02.2015.

<sup>21</sup> See: Z. Bauman, *Płynna nowoczesność*, ed. Literackie, Kraków 2006, passim.

<sup>22</sup> See: G. Ritzer, *Magiczny świat konsumpcji*, op. cit., passim.

<sup>23</sup> The get results are consistent with the results of the CBOS from 2011. Big shopping malls displace small shops. See: „Mania kupowania czyli o postawach konsumenckich Polaków, CBOS, BS/5/2011, [http://www.cbos.pl/SPISKOM.POL/2011/K\\_005\\_11.PDF](http://www.cbos.pl/SPISKOM.POL/2011/K_005_11.PDF), 08.02.2015.

The working hypothesis was that Slovak society has not undergone the processes of commercialization, marketization, or globalization as deeply as Polish society, and this was confirmed and verified by the survey. Slovak society has not been as deeply commercialized as Polish society.

The next hypothesis was that in both societies – Polish and Slovak – similar changes in the perception of values has occurred and currently material values play a more important role. But in the Polish society material values seems to be more important than in the Slovak society. This was quite easy to see from the results of my questionnaire.

During the research a hierarchy of the values of the younger generation in Poland and in Slovakia, as well as the similarities and the differences in the dominating hierarchies of the values became clear.

The Slovak students visit shopping malls more often than Polish students. The reason for this difference may be due to the fact that the students live in cities of different sizes. The options they have as to how to spend their free time are also different. Krakow is a cultural city and what it has to offer is much more diverse. The shopping mall in Nitra is one of the few places where students can spend their free time. This is probably the reason why students consider the shopping center as an attractive place.

There is no difference in using the Internet. The Polish and Slovak students spend a lot of time on the Internet (an average of four to five hours per a day). This is a lot of time and it certainly must affect the amount of time spent in personal contact with others. However, the Slovak students spend a lot of time meeting with their friends and family. The Polish students are not as family-oriented.

The differences are obvious to see in the hierarchy of values that students have to choose among. They were given fourteen values and were asked to put them in order of importance to them in value. This is this hierarchy:

	Slovak students	Polish students
1.	Family	Family
2.	Health	Love
3.	Love	Health
4.	Friends	Freedom
5.	Freedom	Friends
6.	Work	Peace in the world
7.	Money	Work
8.	Peace in the world	Good appearance
9.	Comfort	Money
10.	Prosperity	Prosperity
11.	Have fun	Comfort
12.	Healthy eating	Good eating
13.	Good appearance	Healthy eating
14.	Good eating	Have fun

For both Polish and Slovak students, family appears as the number one value. 25% of Polish students seem to understand the family as “Me, my

parents and my partner (wife, husband)” – they do not want to have children. 100% of the Slovak students want to have their own family with no less than two to three children. For both groups love, health, freedom and friends are very important – those values following after family. The next section shows the differences. The importance of money and work is different for the Polish and Slovak students. For the Slovak students money and work are much more important than peace in the world. For the Polish students peace in the world is much more important than money and work. But having a good appearance is important for them than work or money.

In fact neither list of the values presented by the students is typical for the world of consumption. The problem is that both of the lists contain declared values rather than those practiced.

The next hierarchy of the values:

	Slovak students	Polish students
1.	Intelligence	Intelligence
2.	Good manners	Knowledge
3.	Knowledge	Good manners
4.	Sense of humor	Sense of humor
5.	Use of the proper language	Good appearance
6.	Good figure	Good figure
7.	Good appearance	Use of the proper language

Again we can see some differences in importance of values. Intelligence is in first place for both. The second ranking for Slovak students is the good manners (good manners are so important in Slovakia that university students have the option of taking lessons in this matter at the university and they are also an obligatory part of lectures). For Polish students knowledge takes second place. The hierarchy of the values delineated by the Slovak students is not typical for the world of consumption. It may be concluded, that Slovak society is still attached to traditional values.

The hierarchy of values delineated by the Polish students, however, exhibits the typical values for the world of consumption (i. e. a good appearance and figure) and are more important for them than for the Slovak students.

The results of the questionnaire shows that Slovak society is definitely less dominated by the principles and rules of the world of consumption than Polish society. This was the hypothesis and it was repeatedly confirmed by the research. For the Slovak students the most important value is family and to have a family of their own with no less than two children is the dream of all the Slovak students who participated in the research. 25% of the Polish students did not want to have any children and own family. Polish society seems to be becoming a society of singles.

A In terms of religion the results of the questionnaire coincide with the research hypotheses. More than 37% of the Slovak students declared they were not engaged in the life of the church or in the religion. Among the Polish students of the Pontifical University of John Paul II in Krakow more than 10% were not engaged in religion any way.

### **Project objective**

The aim of this project was to view the issues of the marketization and the commercialization as they present themselves to Slovak and Polish students from a philosophic viewpoint. A possible reason for increasing marketization and the growing role and meaning of money are changes in social attitudes, changes in the perception of value, and the increasing tendency of individuals to isolate themselves from society. The reasons for the expansion of consumerism and consumption society also include many different crises occurring in contemporary reality (crisis of authorities, crisis of conception of the world, secularization).

The life of a contemporary man is concentrated on material goods. The human being is surrounded by a number of goods, which all seem to be within reach if only one has money. Polish society has a strong desire and is willing to work very hard to satisfy their ever-growing material needs. Slovak society (as the results of research show) is less willing to work very hard, often without being able to rest, in order to satisfy their material needs. Slovaks really appreciate time to rest and family time. Poles are willing to sacrifice everything for profit. These survey results paint a sad picture of Polish society as one that is focused on material values and lacks family as an important value.

### **Specific research project hypothesis**

The following specific research project hypothesis was verified:

- Increasing development of capitalism and marketing changes the socio-ethical condition of people and the socio-political reality of their lives.
- A consumption society appears as a result of technological progress, new opportunities and general economic growth, which is related to a change in the conception of the world and life objectives.
- Economic thinking replaces ethical thinking, economy overtakes ethical notions and changes the understanding and hierarchy of the values
- Commercialization also changes roles played by woman and man in the society, roles become blurred, and the family undergoes many changes; these changes are bigger in Poland, and smaller in the Slovak Republic
- Market triumphalism leads to changes in the socio-political structure of the democratic state (economization of politics, culture, education, and religion) – it is quite easy to see in Poland, not in the Slovak Republic; the

Slovak people like to have free time and do not like to work without any breaks (work on the weekend etc.)

- Change of the role of religious cult – this becomes a part of people's tradition, a deep understanding of symbols disappears; this phenomenon is easy to see both in Poland and in the Slovak Republic. The religiosity of the common people is changing and disappearing.
- Changes in understanding of basic social values causes bureaucratic growth and formalization of the areas of life, which up till now have been based on values (such as trust). This is valid for Poland but not for Slovakia, because in Slovakia the family is much stronger than in Poland. To have my own family is one of the most important dreams of the Slovak students, but not for the Polish students.
- Attempts to escape the society of consumption – this is difficult, as it requests a change of the conception of the world and ability to share material goods with others. In the Slovak Republic I have observed how it works in the social protection of the working people. This protection (much stronger than in Poland) may protect the whole society against the development of a consumption society. But it depends on business owners.

## **Conclusion**

The condition of society in Poland is worst than the condition of Slovak society. In Poland consumption is more developed than in Slovakia. The reason for this is that Poland is bigger and economically more viable for foreign business. Also the national character of the people is very important for the development of consumption society. Polish people want to have everything that people in Western Countries have. The Slovak people seem to be calmer and less greedy.

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## STRATEGIC CHOICE PERSPECTIVE TO TECHNOLOGICAL CHANGE

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### **Abstract**

In today's work organizations, managing technology – and its role in organizational processes – attracts great attention due to its core significance for the success of the organization life as a whole. In attempting to understand technology-related organizational change, involving complex interactions between management, technology and organization structure, one should not interpret it as solely the adaptation process of organizations to the impact of the technology itself instead organizational actors' intervention in shaping the direction of technological change. There has been a long debate between economists and organizational sociologists about the analysis of technological change. When the literature is reviewed, the most crucial result that emerges is the interdependence of technological change on many subjects and thus its complexity. It is not only that change is solely driven by technological and competitive pressures, but also it is influenced by social and political factors. Additionally, organizations are inherently in a constant state of change behind their stable appearance. Technological change is the product of this chronic unpredictability and uncertainty of organizational life; therefore, it is as well a very complex and uncertain process. This volatile and multifaceted nature of the change process is the challenge that demands a greater emphasis on non-technical aspects of it. In this paper, people in organizations are the starting point to discuss inherently complex and uncertain nature of technological change process with reference to case studies in the context of the political nature of the organizations. Instead of assuming that technology-related organizational change is mainly an adaptation to 'the inherent and unavoidable requirements of technology' as in the case in technological determinism, it is suggested that strategic choices within adopting organizations and negotiation processes between dominant coalitions and other organizational actors affect the organizational outcome of technological change. This further indicates the importance of the idea that there is no best way for all organizations rather there are organization-specific ways for each due to the variance in their cultures, structures and



power relations. The stress will be on the argument that technological change, far from being an 'event', is a social and political process and divergent stakeholder interests within organizations shape the outcomes by their strategic choices, decisions and negotiations.

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**Keywords:** Technological Change, Strategic Choice, Managing Technology

## **Introduction**

In today's work organizations, managing technology – and its role in organizational processes – attracts great attention due to its core significance for the success of the organization life as a whole. In attempting to understand technology-related organizational change, involving complex interactions between management, technology and organization structure (Scarbrough and Lannon, 1988), one should not interpret it as solely the adaptation process of organizations to the impact of the technology itself instead organizational actors' intervention in shaping the direction of technological change.

There has been a long debate between economists and organizational sociologist about the analysis of technological change. While the former tend to perceive technology as an independent variable – a given constant – and technological change as a rational goal-directed activity, the latter emphasize the socially created nature of the change process – human interpretation – following an 'idiographic approach' (Willman, 1997; McLoughlin, 1999). While, from one perspective, the inspired inventors/innovators are credited for technological innovation that is perceived as being inherently a chance and spontaneous event (Rhodes and Wield, 1996; Tushman and Anderson, 1986), from a different approach, the complete process of technological evolution and change is analysed in the context of the argument that whether it is the 'push' from technology or the 'pull' from market that trigger innovation and thus change (Rhodes and Wield, 1996; McLoughlin and Harris, 1997). Another debate is on whether technological change process is concluded once a product is being applied successfully in the market place or the technological innovation continues during the diffusion of innovations as suggested by 'innofusion' paradigm<sup>24</sup> (McLoughlin and Harris, 1997: 5). From this short literature review, the most crucial result that emerges is the interdependence of technological change on many subjects and thus its complexity. It is not only that change is solely driven by technological and competitive pressures, but also it is influenced by social and political factors

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<sup>24</sup> This notion has been raised by James Fleck in his article '*Innofusion or Diffusion: The nature of Technological Development in Robotics*', (1987), Department of Business Studies working Paper 87/9 Edinburgh University (cited in McLoughlin and Harris, 1997). The further discussion can be read from there.

(McLoughlin and Harris, 1997: 6). Additionally, organizations are inherently in a constant state of change behind their stable appearance. Technological change is the product of this chronic unpredictability and uncertainty of organizational life; therefore, it is as well a very complex and uncertain process.

This volatile and multifaceted nature of the change process is the challenge that demands a greater emphasis on non-technical aspects of it (McLoughlin, J. *et. al.*, 1999). According to Harold Leavitt (Leavitt, 1965; Huczynski and Buchanan, 2001: 449), organizational objectives, company structure, people and technology are highly interdependent in addition to the dynamic interaction between them therefore any variable can be a starting point to analyse the suggested linkage. In this paper, people in organizations are the starting point to discuss inherently complex and uncertain nature of technological change process with reference to case studies in the context of the political nature of the organizations. Instead of assuming that technology-related organizational change is mainly an adaptation to 'the inherent and unavoidable requirements of technology' as in the case in technological determinism (McLoughlin and Clark, 1994: 41; Grint and Woolgar, 1997), it is suggested that strategic choices within adopting organizations and negotiation processes between dominant coalitions and other organizational actors affect the organizational outcome of technological change (McLoughlin, 1999: 73). This further indicates the importance of the idea that there is no best way for all organizations rather there are organization-specific ways for each due to the variance in their cultures, structures and power relations. The stress will be on the argument that technological change, far from being an 'event', is a social and political process and divergent stakeholder interests within organizations shape the outcomes by their strategic choices, decisions and negotiations.

### **The Image of Organizations as Political Systems**

Analysis of organizations as inherently complex and analysis of organization-life as occurring at multiple levels and subject to different viewpoints endorse the image of organizations as political systems. This political metaphor stems from the 'diversity of interests'. The orientation of different people toward different aspirations produces a great variety in the way they act causing tensions and conflicts that are at the centre of the political activity (Morgan, 1997: 162). If the values, interests or ideologies overlap at some point, diverse stakeholders (managers, workers, shareholders *etc.*) form coalitions to cooperate. As a result, organizations become a shelter for many coalitions with multiple goals in contrast to the view that organizations pursue a common rational goal (Morgan, 1997: 166). In such a perspective, conflict is always will be present within an organization since

there is duality in the sense that collaboration and competition are required by organization simultaneously (Morgan, 1997: 210). Then, in this approach, power can be attributed the importance of being a ‘medium through which conflicts of interest are ultimately resolved’ (Morgan, 1997: 170) and it is used as a means by management in their quest for the right balance in organizational outcomes of technological change (McLoughlin, 1999; Pettigrew, 1973). Nevertheless, power does not remain stable as well as the organization in which it is exercised. Variables of organizations change and evolve and so does the power. It changes hands when the sources of power such as control of technology or people change. As a result, attaching to technological change a political nature discards the view that assumes it as a constant and simple practice exercised by an objective and external force.

### **Strategic Choice and Politics of Organizational/Technological Change**

The ‘strategic choice’ concept was originally developed by John Child (1972) as a ‘corrective’ to the arguments that stressed situational, environmental or operational factors as influences that determine organizational structure and change. The aim of the strategic choice perspective was:

*“...to highlight the key role played by organizational politics and divergent stakeholder interests in shaping organizations where external factors are regarded not as determining, but rather as contextual referents for decision-makers when designing organizations and establishing their purpose (e.g. type of technology used), defining salient features and even when shaping elements of the environment and by selecting and interpreting the criteria through which organizational performance is assessed.” (McLoughlin, 1999: 71)*

Thus, the emphasis is on the role of the strategic managerial choice influencing the outcomes of the change in work organizations through an essentially political process rather than technology as being an independent variable itself. This argument is quite clear in the case of PowerDoc in which a new office technology with more advanced network facilities in word processing was introduced by the data processing manager (technical specialist), however, followed by unintended consequences although it was a technical success (Harris, 2004). PowerDoc case can be used to illustrate that different decision makers have different reference points and thus the new technology is open to different interpretations being a political process. The data processing manager promoting his operational view of the situation at the expense of informational, strategic and labor objectives put the non-technical components aside preventing the overall organizational success. Relatively similar conclusions may also be derived from the case of Central Linen Service (Dawson, 1994: 123-141). Besides the importance of

participative management and employee involvement in the change process, Central Linen Service case highlights that the strategic decisions and political dynamics have further influences in implementing and developing the new technology, as with the PowerDoc case.

Given the concept of 'strategic choice', why particular choices are made and by who shall be discussed as a next stage. Child (1972) answers these questions in the context of the term 'decision-makers' and the 'dominant coalition' concept. They refer to another notion – the 'power-holding group' in the sense that in organizations power is not distributed equally in the hands of the actors signifying a 'differential access to decision-making' which, in return, can be seen as a political process since its dependence on the goals and interests of organizational actors (Child, 1972: 13). Although dominant coalitions normally initiate strategic choices as argued, this does not necessarily mean that these choices are not subject to adjustments by the other members of an organization (Child, 1972; McLoughlin, 1999). Indeed, there may be circumstances when there is more than one power-holding group that create conflict and competition within an organization (Child, 1972; McLoughlin and Clark, 1994).

Wilkinson (1983: 18) further modifies the argument of Child (1972) in the sense that managers are 'creative mediators between potential and actual technology' rather than being passive 'messengers' of technological requirements (McLoughlin, 1999: 77). Individual managers have certain assumptions, values and different interests in the outcomes of technological change therefore; they may not always act in the interest of senior managers and the overall company goals. In other words, they mediate and influence the processes in organizations. All taken together, organizations may well be seen as the juxtaposition of management choice and political negotiation process with other organizational actors (McLoughlin, 1999: 72).

Besides, Child (1997) enriches his original argument by himself regarding that strategic choice analysis, instead of drawing a sharp line between organizational agency and organizational environment, sees the overall process as an 'interactive' one in the sense that latter imposes constraints upon organizational choices as well as the former responding to the environment with its own subjective definitions. Consequently, strategic choice perspective presents a dynamic rather than a static view about organizations bounded by their environment but at the same time impact upon that environment (Child, 1997: 60).

### **The Process of Technological Change**

The development of strategic choice/organizational politics approach has challenged the technological determinism view in the favour of a processual one with indeterminant outcomes. Wilkinson (1983) contributed

to Child's (1972) initial theory by arguing that the design, choice and introduction of new technology in organizations are highly dependent on political decisions and thus can be conceived as a process involving persuasion and negotiation. This process, according to Wilkinson, can be fragmented and during each distinct stage, 'critical junctures' occur which provide the room for management, unions and workforce to make and contest strategic choices effecting the outcomes of technological change.

This focus on the processual nature of technological change has given rise to many attempts to model the key stages of change (McLoughlin, 1999; McLoughlin and Clark, 1994). While Wilkinson is breaking the process into three stages concerning the choice, implementation, and debugging of technology (Wilkinson, 1983; 21), others suggest five stages – initiation, decision to adopt, system selection, implementation and routine operation (McLoughlin and Clark, 1994: 59). However, it should be stressed that

*"Although sequential in analytical terms, in practice organizations may 'regress' to earlier stages or inhabit two or more stages simultaneously. Moreover, the notion of 'stages' of change is open to and shaped by the interpretations of organizational actors. ... At the same time, (the nature of the change process) ... will reflect organizational specific characteristics of the content of the change itself and the organizational context and wider context in which change takes place."* (McLoughlin, 1999:74)

In a further attempt to capture the dynamic and multifaceted picture of change, Pettigrew (1985; 1990; 1992) signifies the need to locate it in past, present and future time. A stress on the importance of 'interconnected levels of analysis' could be taken as suggesting that the quest for a singular cause for change is likely to fail. Pettigrew (1985; 1990; 1992) views the change as developing from a mixture of choices and causes that evolve through time. Adopting the similar terminology to analyse technology-related organizational change specifically, Dawson (1994) proposes three determinants of change – the substance (the scale and scope of change), the context (past, present, future and internal, external) and the politics (within and outside the organization).

In the context of the above arguments, it is reasonable to assume that the technological change is a continuous, political and unpredictable process rather than being an 'event'. Disputes, ambiguity and power are at the centre of the organizational life, which witnesses the interplay of multiple variables of context, substance and politics. Regarding the interpretative process of technological change, it may also be suggested further that, as Dawson (1994) also argues, there is no best way for all organizations rather there are organization-specific ways for each. This last argument is also apparent in relation to the Bank of Scotland case (Scarbrough and Lannon, 1988). The

case answers the question that why some organizations do better than others do by underlining 'the importance of historical and organization specific factors in shaping a company's approach to the management of innovation' (Scarbrough and Lannon, 1988: 258).

## **Conclusion**

Managing technological change in organizations is about managing a complex, non-linear, dynamic process. It is a truism that change is uncertain by definition, thus any consideration attempts to scrutinize it should be tempered by recognition of this uncertainty. The argument in the paper draws on the fact that technological change, far from being an 'event', is a political process and divergent stakeholder interests within organizations shape the outcomes of this process by their strategic choices, decisions and negotiations. Attaching to technological change a political nature discards the view that assumes it as a constant and simple process.

Strategic choice perspective instead of regarding technology itself as an objective and external force in shaping the outcomes of change highlights the process of choice and political negotiation between dominant coalitions. Besides, as Child (1997) argues further, there is an interaction between organizational agency and organizational environment in the sense that the latter imposes constraints upon strategic choices made by members of the organization as well as the former responding to the environment with its own subjective definitions. Consequently, strategic choice/organizational politics perspective captures the interactive and complex nature of organizations that are bounded by their environment but at the same time impact upon that environment. By doing so, it challenges the technological determinism view in the favour of a processual one with indeterminate outcomes. Various interpretations of the actors in organizations shape the stages of the change process reflecting organizational specific characteristics of the content of the change itself and the organizational context and wider context in which change takes place. Therefore, it may well be suggested that one best way is not possible for all organizations to manage technology-related organizational change rather there are organization-specific ways for each. A further attempt to capture the dynamic and multifaceted picture of change comes from Pettigrew who signifies the need to locate the change process in past, present and future time through which it evolves with a mixture of choices and causes. The above arguments are all apparent in the cases of PowerDoc, Central Linen Service and Bank of Scotland illustrating the range of factors that may impede, hasten and shape technology-related organizational change.

Nevertheless, recognizing that there is no secure certainty instead there is ambiguity and subjectivity in every respect; it should be bear in mind

that this is not the complete story of technological change. To be clear, no knowledge is determinate since there are several interpretations of its meaning. Hence, there may well be many other stories to justify the complex and uncertain nature of technological change. However, they are left out in this paper to be analyzed in a further research in a more detailed way for the benefit of concentrating on the political/strategic side of the change process.

In conclusion, the outcome of technological change is a vague picture painted by many artists simultaneously and influenced by the mood and the creativity of each. The picture is coloured with choices and negotiation; at the same time, it is darkened with political power plays. The end picture, as expected then, is highly multifaceted and open to many interpretations and thus to a further change.

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## FAITH TOURISM POTENTIAL OF KONYA IN TERMS OF CHRISTIAN SACRED SITES

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### Abstract

Among the countries In the Middle East, Turkey is the second country that has the most biblical sites after Israel. It is called as “The Other Holy Land” because of this reason. The land of Turkey which is bounded by the Mediterranean, Aegean, and Black Seas is referred as Asia Minor or Anatolia in Biblical reference works. Asia Minor or Anatolia as mentioned in history or the present day Turkey is important for Christianity to understand the background of the New Testament. Approximately two-thirds of New Testament books were written either to or from churches in Turkey. The three major apostles; Peter, Paul, and John either ministered or lived in Turkey. Turkey’s rich spiritual heritage starts at the very beginning in the book of Genesis. Konya or Iconium as mentioned in history is one of the important cities of Turkey in terms of its historical and cultural heritage. It’s a city that has an important place both in Christian and Islamic world, even in history and present day. Although Konya is famous today because of its Muslim mosques, its theological schools and its connection with the great Sufi mystic Celaleddin Rumi; better known as Mevlana, the 13<sup>th</sup> century Sufi mystic, poet, philosopher and founder of the Mevlevi order of whirling dervishes, Konya has a biblical significance since it was mentioned in the New Testament as one of the cities visited by Apostle Paul. In the first years of Christianity, St. Paul visited the city in three of his missionary voyages. Iconium, Lystra and Derbe are some of the New Testament Sites in Konya. In this study it has been aimed to reveal the religious tourism potential of present Konya in terms of its biblical significance for the Christian world. In line with this purpose, the study starts with a brief history of Konya, continues with the biblical significance of the city and gives detailed information about Christian sacred sites (New Testament sites) in present Konya. In the end of the study, the religious tourism potential of Konya has been argued.

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**Keywords:** Konya, Iconium, Lystra, Derbe, Kilistra, Sille

## Introduction

Christianity was born on the lands currently known as Israel and it has spread to Europe and the rest of the world through Anatolia and has lived its growth period here (Yenipinar, 2002). For this reason Turkey is the second country after Israel in the number of the biblical sites to offer to Christian pilgrims. Mount Ararat where the Noah's ark is believed to landed is a mountain in eastern Turkey. Saint Peter's first epistle addressing the suffering Christians scattered throughout Pontus, Galatia, Cappadocia, Asia and Bithynia went to Turkey. Saint Paul was born here in Tarsus and most of the cities he visited during his missionary journeys are in Turkey. The Apostle John lived in Ephesus of Izmir today. Also the Virgin Mary, mother of Jesus is believed to be buried in Ephesus. Christians fleeing persecution in the early centuries found shelter in Cappadocia in central Turkey. They carved the rocks and built frescos, carved archways, baptismal pools, dining tables and living quarters. Christians also set up houses in underground cities (Zoba, 1998: 43-48). The first Ecumenical Consul was gathered in Iznik in 325 AD, and Christianity had been declared as the official religion of the Roman Empire by the Emperor Constantine in Istanbul (Yenipinar, 2002). After this date all the Ecumenical Consuls between the IVth and the VIIIth centuries gathered in Iznik, Istanbul, Ephesus and Kadiköy. The saints who had lived in the first years of the Christianity and considered as the fathers and mothers of the Christian ideology and rituals lived in Anatolia. There are hundreds of churches in the Thrace and Anatolia. But today many of them need restoration. Christianity reached Europe after being propagated in Anatolia and it is not possible to find pieces of art and worship places of Christianity in Europe which are as old as those existing in Anatolia (Bartholomeos I, 2002). The Seven Churches of Revelation, also known as the Seven Churches of the Apocalypse or the Seven Churches of Asia are seven major churches of Early Christianity, as mentioned in the New Testament Book of Revelation are within the boundaries of Turkey. These historical data makes Turkey a center of attraction for the Christian world.

Unlike Islam, Christianity does not have a single destination for pilgrimage. For a Christian, being a pilgrim means being on the path of God. To become a pilgrim one doesn't always need to go to the Vatican or Jerusalem. Visiting the places where prominent saints, religious leaders and theologians lived is considered as sacred. Walking the roads that they walked, breathing the air that they breathed is the way of becoming a pilgrim in Christianity. Therefore bearing the footprints of many saints and leaders in its biblical sites, Turkey has an outstanding potential for Christian pilgrims (Yenipinar, 2002). The New Testament sites in Turkey with modern Turkish names are; Adramyttium (Edremit), Antioch (Antakya), Assos (Behramkale), Attalia (Antalya), Bithynia-Nicomedia (Izmit), Nicea (Iznik), Cappadocia-

Caesarea Mazaca (Kayseri), Cilicia (Kilikya), Cnidus, Colossae (Honaz), Derbe (Ekinozu), Ephesus (Selçuk), Euphrates River (Firat Nehri), Galatia, Haran (Harran), Hierapolis (Pamukkale), Iconium (Konya), Laodicea (Denizli), Lycaonia, Lycia (Likya), Lystra (Hatunsaray), Magog (Lydia?), Miletus (Milet), Myra (Kale; Demre), Mysia, Pamphylia, Patara (Ova), Perga (Perge), Pergamum (Bergama), Philadelphia (Alasehir), Phrygia, Pisidian Antioch (Yalvac), Pontus-Amisos (Samsun), Sardis (Sart), Seleucia (Samandag), Smyrna (Izmir), Syria, Tarsus, Thyatira (Akhisar), Troas (Dalyan) and Troglyllium (Turkey and the New Testament)

Iconium or the modern Konya is one of the largest cities of Turkey. It is a centre of attraction for Muslims with its mosques, theological schools (medrese), tombs and most importantly with Mevlana Museum or Mevlana Tekkesi. This is a former monastery of the whirling dervishes. Konya is an important destination of faith tourism for Muslims, not for pilgrimage but for those who want to visit the city, pray to Mevlana and watch the Sema Ceremony which is a ritual of Mevlevi order. As well as its potential of faith tourism for Muslim tourists Konya is also important for Christians because of its biblical significance.

Iconium and nearby destinations Derbe and Lystra are three of the New Testament sites mentioned above. These cities of ancient times are important for Christianity because of Saint Paul. Paul the Apostle originally known as Saul of Tarsus was an apostle (though not one of the Twelve Apostles) who taught the gospel of Christ to the first-century world. He was born at Tarsus in Cilicia (Acts 21:39), of a father who was a Roman citizen (Acts 22:26-28; cf. 16:37). Cilicia was a region in southeast Asia Minor, on the Mediterranean Sea. He was a Jew, known during his early years by the name of Saul. He is considered as one of the most important figures of the Apostolic Age. In the mid-30s to the mid-50s, he founded several churches in Asia Minor and Europe. Paul's great achievement was to take Christianity from Jerusalem throughout the eastern provinces of the Roman Empire and finally to the capital itself (Adcock, 2014: 4). The period of twelve years between 45 and 57 AD was the most active and fruitful of his life. It comprises three great apostolic expeditions. All of them started in Antioch and invariably ended in a visit to Jerusalem (The Catholic Encyclopaedia). Paul visited Iconium, Derbe and Lystra during these missionary journeys. For those Christians who want to seek for the footsteps of Paul and become a pilgrim, Konya is offering a potential with its New Testament sites, churches and monasteries. In this study, Iconium, Lystra and Derbe have been investigated to reveal their biblical significance, so that the potential of faith tourism in Konya for Christian world.

## **Konya in History**

In the references of ancient history the name of the city is mentioned as “Ikonion”. It is one of the cities of Asia Minor bearing the same name since time immemorial. The name Ikonion was written as Iconium in Romans, Toxovio in Byzantines, Yconium, Conium, Stancona or Cunin in several crusader references and Cogne or Cogna in some literary work. Konya is mentioned as Conie, Konieh or Konia in today's western literary work (Halici, 1984: 9-10).

It's revealed with the results of excavations Alaaddin Hill, Beysehir-Cukurkent Village Ruins and Cumra-Catalhoyuk that Konya and surroundings existed in Neolithic Age. Catalhoyuk dated to 6000 BC shows that Konya and surroundings developed in Bronze Age. The Hittite Empire established in 1900 BC dominated also in Konya and surroundings. Phrygians and then Lydians dominated in the area after Hittites. In 546 BC The Persian Empire invaded Konya and reigned until 333 BC. After then Salafi, Pergamons and in 133 BC Roman Empire conquered the city (Halici, 1984: 9-10). In Romans period Konya and surroundings was a city of Lycaonia region known as Iconium. During this period Iconium was an important city in Asia Minor. During the first years of Christianity (47-53 AD) Iconium was a city visited by Saint Paul, one of the Apostles of Jesus (Onder, 1999: 6).

In 395 BC Lycaonia region and Iconium were dominated by Byzantine Empire (East-Roman Empire). During this period (4th-11th century AD) Konya was a small and lesser known city (Onder, 1999: 6). Today there is a catacomb (underground grave) dated to Byzantine period, 5th century AD still exists in city center, near Sircali Medresa. Besides monasteries in Sille and Karadag are also dated to this period. Aya-Elenia Monastery in Sille is the most important structure that still exists today from Byzantine period (Onder, 1971: 15)

Between the years 704 and 907 AD Konya came under the domination of Emevis and Abbasids and then Byzantines recaptured the city. In the second half of 11th century Turkish invasion to Anatolia started (Onder, 1971: 16-17). In 1074 AD Anatolian Seljuk Empire established. Konya became the capital of the empire in 1097 AD and stayed as capital until the collapse of Seljuks (Halici, 1984: 10) (il turizm envanteri, 1997: 12). This period was the most magnificent times of Konya in history (1984 Sonrasi Konya, 1988: 33). Konya became a city of science and culture with immigration of scientists, poets, artists and sufi scholars from Asian countries during the period of I. Alaeddin Keykubat (1220-1237 AD). Mevlana and his father Bahaeddin Veled came to city and settled in here with the invitation of I. Alaeddin Keykubat. During the period of Seljuks

madrasahs, mosques, caravansaries, hospices and hammams were built in Konya (1984 Sonrasi Konya, 1988: 33).

In 1243 when Seljuk army was defeated by Mongols the military power of the empire was hurt and after 1260 the region came under the domination of Ilkhanid Empire. Karamanid Dynasty occupied Konya in 1327 and in 1465 Ottoman Empire annexed the city (Halici, 1984: 11). In 1867 Konya became a province of the empire and came to these days (il turizm envanteri, 1997: 13). Today it's one of the biggest cities of Central Anatolia Region of Turkey.

### **Biblical Significance of Konya**

Saint Paul who is the most significant figure in early Christianity after Jesus was largely responsible for focusing the legacy of Jesus in such a way that Christianity penetrated the Roman world. According to New Testament, he was born at Tarsus in Asia Minor (Acts 22:3) and inherited Roman citizenship (Acts 22:26-28). Paul claims that he was raised in a pious family and distinguished himself as a Jew and particularly as member of the Pharisaic party (Phil. 3:5-6). His Jewish name was Saul, but as a Roman citizen he also got the name Paul (Jestice, 2004: 676)

Acts offers three accounts of Paul's conversion to Christianity (9:1-19, 22:3-21, 26:9-23). Paul regarded the early Christian movement a dangerous and heretical sect within Judaism and determined to stamp it out. However, when he was on the road to Damascus, he had a mystical encounter with the risen Christ and became convinced of the truth of the Christian message. Paul preached to the Jews of Damascus and then spent some years in seclusion after his conversion (Acts 9). He undertook three missionary journeys to Asia Minor and Greece beginning in about 45 AD (Acts 13-21) (Jestice, 2004: 676). Paul went from Jerusalem to the shores of the Mediterranean, to the middle of Anatolia and as far as northern Greece in his three long and dangerous voyages as a missionary. These were the longest and most important religious journeys made in the 1<sup>st</sup> Century AD, covering over 20,000 miles. The largest portion of the journeys took place in Anatolia which is St. Paul's home ground (A Christian journey through Anatolia, [http://www.gatetoturkey.com/turkey\\_a\\_z\\_arkeology/00966/](http://www.gatetoturkey.com/turkey_a_z_arkeology/00966/)). His journeys resulted in the conversion of both Jews and Greco-Roman polytheists. He founded churches in major cities (Ephesus, Philippi and Corinth for example). He was confident that from these urban centres the gospel would penetrate to the countryside (Jestice, 2004: 676).

Iconium or Konya has an important place in the first years of Christianity, since St. Paul visited the city in three of his missionary voyages. As mentioned in Acts, Paul started his journey from Attalia (Antalya) (47-53 AD) to spread Christianity. He first reached to Antiochia (Yalvac) and then

to Iconium (Konya) (Onder, 1971: 15). When St. Paul came to Iconium and preached here during his first journey, he converted a vast number of Jews and pagans (Vailhé, 1910). In Iconium, St. Paul healed a crippled man and many people thought that he was God. When he refuted this, he was stoned, dragged through the streets and left for dead beyond the city walls (A Christian journey through Anatolia, [http://www.gatetoturkey.com/turkey\\_a\\_z\\_arkeology/00966/](http://www.gatetoturkey.com/turkey_a_z_arkeology/00966/)). Because of the violent resistance of Jews he first moved to nearby city Lystra (Hatunsaray) and then to Derbe (near Karaman). Afterwards St. Paul and his companions returned to Antiocheia (Antakya). His visits helped the spread of Christianity in this region, so the development of Iconium as an important sacred center (Onder, 1971: 15). Today, the area around Derbe-Karaman is called "1001 Churches", a testament to the success of Paul's mission (A Christian journey through Anatolia, [http://www.gatetoturkey.com/turkey\\_a\\_z\\_arkeology/00966/](http://www.gatetoturkey.com/turkey_a_z_arkeology/00966/)).

St. Paul and St. Barnabas stayed a while in Antiocheia (Antakya) and then decided to return to the cities they had visited before. But they parted their ways after a dispute. St. Paul took new companions on his second and third voyages, again starting from Antiocheia, but this time on land. Paul headed via western Anatolia to Assos and Aleksandria-Troas from Derbe. A Macedonian man came to St. Paul in a dream to ask him for help, so Paul and Silas went via Filibe, Athens and Corinth to Ephesus. They then returned to Jerusalem. The third voyage covered the same areas as the second. So he visited Iconium for the third time. During his travels from 48-56 AD, St. Paul spent the longest time (51-54 AD) in Ephesus. So It is thought that his letters to the seven churches were written here. St. Paul was expelled by pagan merchants who feared the mass conversions he inspired. Having left Ephesus, St. Paul set sail from the port of Miletos to Patara via Istandkoy and Rhodes, ultimately returning to Jerusalem. The authorities felt that Paul was causing too much unrest and had arrested him. He used his right as a Roman to be tried in Rome. His final journey took him to Rome via Caesarea, Sidon, Myra (Kale-Demre), Knidos (Datca), Crete and Malta. Paul's missionary Journeys began in 46 AD and ended with his execution in Rome in the early 60s (according to the Bible, this was on June 29, 64-the same day as St. Peter). St. Paul is accepted to be the most important Christian leader after St. Peter. His greatest achievement was to blend the then-current Hellenistic philosophy, Jewish traditions and Christ's teachings. His efforts made Christianity a religion in its own right, not just an extension of Judaism (A Christian journey through Anatolia, [http://www.gatetoturkey.com/turkey\\_a\\_z\\_arkeology/00966/](http://www.gatetoturkey.com/turkey_a_z_arkeology/00966/)).

Christianized rather early, the town Iconium was the scene of a Council in 235 AD which decreed that the baptism of heretics was invalid.

Le Quien (*Oriens Christ.*, I, 1067-74) mentions thirty-six bishops down to the year 1721. St. Amphilochius who is the friend of St. Basil and St. Gregory of Nazianzus was the best-known of the bishops. The list might well be completed and brought down to the present time, for Iconium is yet the centre of a schismatical Greek diocese (Vailhé, 1910).

### **Christian Sacred Sites (New Testament Sites) in Konya**

Iconium, Lystra and Derbe are some of the New Testament Sites in Konya. Iconium (Konya) is mentioned in Acts 13:51, 14:1-3-4-19-21, 16:2; Lystra (Hatunsaray) is mentioned in Acts 14:6-8-19-21, 16:1-1, 27:5 and Derbe (Ekinozu) in Acts 14:6-20-21, 16:1 and 20:4.

Iconium is an ancient city of Asia Minor, today the modern Konya in Turkey. In history it was at various times in Phrygia, Lycaonia, Cappadocia and the Roman province of Galatia. It was visited by St. Paul and became an active Christian colony in the 3<sup>rd</sup> Century AD (Columbia Electronic Encyclopedia).

The ancient city Lystra was a city of Lycaonia in Asia Minor. Lystra is the city where St. Paul and St. Barnabas came when they were driven from Iconium and started preaching there. The antique city Lystra is now in village of Gokyurt from Hatunsaray town of Meram district of Konya. The city is in southwest of Konya and 35 km. away from it. Very little historical ruins have remained from the city to the present day. The antique city is a mound (tumulus) today (Wikipedia- Gokyurt, Meram).

The antique city Kilistra is in 12 km west of Lystra. It has been thought to be used as a fortress of Lystra. Kilistra became a castle and shelter city with Lystra's becoming ecclesiastically important. People who lived in Lystra but escaped from the constraint of the Roman Empire settled in Kilistra. Even if Kilistra has not been mentioned in the New Testament, it has been thought that St. Paul visited the city when he was going from Lystra to Pisidia Antiocheia (T.C. Kultur ve Turizm Bakanligi).

Derbe is another ancient town of Lycaonia in Asia Minor. The acts of the Apostles relates that St. Paul and St. Barnabas fled there from Iconium (Columbia Electronic Encyclopedia). Today the site is a mound (tumulus) and it is located in 3 km. north of the village of Ekinozu, which is a village of the city of Karaman. The city was a district of Konya until 1989 and it is 113 km away from Konya.

Detailed information about these sites and important sacred places in these sites are mentioned below.

### **Iconium (Konya)**

The biblical significance of Konya (Iconium) comes from the Apostle Paul, as mentioned earlier. During his first missionary journey described in

the book of Acts, St. Paul travelled through the southern region of Asia Minor and spread the Christian Faith in several cities, including Iconium (Acts 13:51-14:7). (Fant and Reddish, 2003: 229)

Although mentioned in the New Testament as one of the cities visited by Apostle Paul, the ancient city of Iconium and present-day the modern Konya is more famous today because of its Muslim mosques, its theological schools and its connection with the great Sufi mystic Celaleddin Rumi, better known as Mevlana, the 13<sup>th</sup> century Sufi mystic, poet, philosopher and founder of the Mevlevi order of whirling dervishes (Fant and Reddish, 2003: 228-229).

The important sacred sites worth to visit in present Konya are as follows:

### **Konya Archaeological Museum**

The visitor to Konya will find some of the artifacts of St. Paul's day in the ancient city of Iconium in the Konya Archaeological Museum. The museum is located on Sahip Ata Caddesi. It is small but definitely worth a visit. In the courtyard there are an assortment of sculptures, sarcophagi, column heads and inscriptions. For visitors that are interested in St. Paul there are two inscribed stone monuments. One is a limestone block with the name of the city of Derbe; the other is an altar stone from the city of Lystra that mentions the city. There are also exhibits belonging to the Neolithic, Bronze, Iron, Classical, Hellenistic, Roman and Byzantine periods in the interior of the museum. The exhibits include pottery, stone and bronze sculptures, sarcophagi, jewellery and inscriptions. Particularly the 3<sup>rd</sup> Century AD marble sarcophagus with beautifully carved scenes from the life of Hercules, a Roman-period clay sarcophagus, a marble sarcophagus with carved garlands, a 2<sup>nd</sup> Century statue of Poseidon and a votive stele dedicated to the goddess Cybele (the Anatolian mother goddess) are noteworthy (Fant and Reddish, 2003: 230-231).

### **Church of St. Paul**

In Konya there has been a small church dedicated to the memory of St. Paul. This church was constructed in 1910 by priests "de l'Assomption" who came here to spiritually assist the families of the French community working in the region. St. Paul's Konya Church is unique to this region as it is still standing after the numbers of Christians decreased. In this church St. Thecla and St. Timothy are remembered as well. St. Thecla who is one of Iconium's very first converts to Christianity, determined to remain a virgin out of love for the Lord Jesus Christ. After suffering numerous persecutions she died in Seleucia. She is remembered in the Cathedral of Milan and her Saints Day is September 23. St. Timothy was a disciple of St. Paul's from



Lystra, who “had a good reputation among the believers at Lystra and Iconium” (Acts 16:1-2). He joined St. Paul as a companion during his journeys and later was made Bishop of Ephesus. Two of St. Paul’s letters to St. Timothy are included in the New Testament (St. Paul’s Church, Konya).

St. Thecla and St. Timothy are two of the First Century saints from Iconium. Others include Conon and his twelve-year-old son, martyrs (29/5); Terenzius, Bishop and martyr (21/6); Appolonius, crucified martyr (10/7); Marcianus martyr (11/7); Curonotus, Bishop and martyr (12/9); Trifenna and Trifosa, both disciples of St. Paul after St. Thecla’s example (10/11); Anfilochius, Bishop and companion of Sts. Basil and Gregory Nazianzas (23/11) (St. Paul’s Church, Konya).

Today Church of St. Paul with its French Gothic facade, offers hospitality to groups of pilgrims travelling the paths of St. Paul in Anatolia. The Church is still standing thanks to the concern and oversight of the Bishop of Izmir/ Konya and to the presence of two resident Sisters from the "Fraternity Resurrected Jesus" in Tavodo, Trento, Italy. Today’s small community of Catholic Christians gathers in the Church once a week to pray and listen to the Word of God as transmitted by the Apostles in their endless love for our Master and Lord, Jesus Christ (Endres, 2008: 25), (St. Paul’s Church, Konya)

### **Mevlana Museum, Theological Schools (Medrese) and Mosques**

The most popular site in Konya is the Mevlana Museum or Mevlana Tekkesi. This is a former monastery of the whirling dervishes, recognizable by its attractive fluted dome of turquoise tiles. The Museum is visited by tourists and by faithful Muslims who come to pray to Mevlana. The building served for several centuries as a centre for religion, art, literature and music. Today it is a museum and mausoleum containing the tombs of Mevlana, his father, his wife and children, and several important religious and civic figures. The museum contains personal items of Mevlana and various illuminated manuscripts, musical instruments, furniture, carpets and other artifacts (Fant and Reddish, 2003: 230-231). The museum is in the city centre of Konya.

In Konya there are also many Seljuk, Karamanid and Ottoman mosques, theological schools (medrese in Turkish) and tombs. Even though they have no connection to the Bible or the Biblical world they are well worth a visit. Among these the Ince Minare Medresesi (the medrese with the slender minaret) which has a fluted minaret decorated with red and blue glazed tiles and is now a museum of Seljuk wood and stone carvings. The Sircali Medrese (the glazed Medrese) was built in 1242 and now houses a museum of Seljuk, Karamanid and Ottoman tombstones. The Karatay Medresesi, founded in 1251, presently contains a large collection of beautiful

Turkish ceramics and tiles from the 13<sup>th</sup> to the 18<sup>th</sup> Centuries. The Alaettin Camii is the largest Seljuk mosque in Konya, whose construction began in 1155. The Sahip Ata Kulliyesi, is a 13<sup>th</sup> Century complex consisting of a mosque, a mausoleum, a monastery and baths (Fant and Reddish, 2003: 230-231).

## **Sille**

Sille is a settlement in 8 km northwest of Konya. The history of the settlement dated to ancient times. Settlement history of the region dates to Neolithic period. According to archeological data it's thought that Sille was established 6000 years ago. Being on the Silk and the Spice Roads, Sille was a settlement center in the periods of Phrygians, Romans, Seljukians and Ottomans (Bahar, 1994: 313-321).

Sille hosted the oldest structures known of early Christianity in Anatolia. During this early periods when Christians exposed to tortures in Roman Empire St. Paul and Barnabas visited Iconium and surroundings in their missionary journeys. The region became the center of Christianity. After a while Christians left Iconium and settled to northwestern mountainside to run from the pressure of Jewish community in the city. The first rock carved churches built in Sille by this means. During the periods of East-Roman and Byzantine Empires when Christianity became official religion, Sille maintained its importance with cave churches that were thought sacred due to Paul and Barnabas. The city was an important settlement on the route of Rome-Jerusalem and on the sacred pilgrimage road (Kucuk, 2001: 82-83). One of the oldest and biggest monasteries of the world, Ak Monastery (Hagios Khariton or Deyr-i Eflatun) was a structure in Sille and it offered service during 800 years approximately. The biggest church of Sille, Aya Elenia was started to built in 327 AD during a religious journey (Konyali, 1964: 1078-1079, Wikipedia-Sille).

In 1468 Sille was captured by Ottoman Empire after it was dominated by Anatolian Seljuk Empire and Karamanids. During this period non-Muslims that are called Karamanlis was a community among public of Sille. Their language was Turkish, they had Turkish names and they were evangelized Turks. So Muslim and Christian community lived together before the period of Ottoman. The population of the city rose to 18.000 (Akoz and Urekli, 1997: 193-214, Konyali, 1964: 1080-1081, Kucukdag, 2005: 73-116). The settlement was mostly inhabited by Turk Christians until the population exchange of 1924. In the notes of a Hungarian traveller Bela Horvarth which was written during a journey to Anatolia in 1913, Sille was mentioned as a settlement with 60 churches (Wikipedia-Sille).

Because of the construction of railway in the beginning of 1990s, population exchange of non-Muslim community, artists and craftsmen

leaving Sille and transformation inadequacy problems people of Sille immigrated to Konya and other cities. Houses reflecting the historical identity of Sille left unattended after these migrations and ruined over the years. The population of Sille decreased by this way. Until the first years of the republic there were 16 villages subsidiary to Sille, afterwards Sille was a municipality until 1989 and now it's a neighbourhood connected to Konya (Kapar, <http://www.sille.org.tr/index.php?p=icerik&id=89>).

Detailed information about churches and monasteries in Sille are as follows.

### **Ak Monastery / Hagios Chariton / St. Chariton**

Sille is famous for its cave churches. The most important one of these monasteries is Ak Monastery or Eflatun Monastery or Hagios Khariton. This structure is important for Christians and Muslims, especially for Mevleviyeh.

The monastery consisted of two carved churches, hagiaσμα, monk rooms, various sections and dais. It is supposed to be founded in the 4th Century by Saint Chariton and according to its epigraph, it has been repaired two times in 1067 and 1289. The monastery was ruined in the beginning of 20th Century. Today Orthodox Christians visit the monastery in every 28 September, in the day of Saint Chariton Feast. (Mimioglu, 2012: 55)

The monastery is analyzed by C. Niebuhr, Kyrillos IV., W.M. Ramsay, G. Bell, F.W. Hasluck and S. Eyice in the 18<sup>th</sup>, 19<sup>th</sup> and 20<sup>th</sup> centuries. The first researcher that talked about the structure was Danish Carsten Niebuhr (1733-1815). He described this monastery in his book (1792) as follows when he visited it in 1766: "there is a monastery on a mountain near Konya. The main church and the rooms of the monastery is rock carved and there are a lot of gravestones one of which belongs to Mikhael Komnenos (Retrieved from: Eyice, 1966: 135).

Kyrillos IV (1750-1821) who was Konya metropolitan bishop for a while and Istanbul Patriarch between 1813-1819 gives detailed information about Ak Monastery in his book about Konya and surroundings (Retrieved from: Eyice, 1966: 136).

N.S. Rizos and J.R.S. Streett are interested in Ak Monastery and talked about it in their books. M. Levidis also talked about this monastery in his book about cave monasteries in Cappadocia region. W.M. Ramsay is another researcher that gives detailed information about Ak Monastery in his book (1903) (Retrieved from: Eyice, 1966: 137). The structure was also researched by F. W. Hasluck (1878-1920) and was talked about in his book dated 1929 (Hasluck, 1929: 56-86).

### **Aya Elenia Museum / Aya Elenia Church**

The church is also known as Hagios Mikhael or Grand Church. The structure is dated to Byzantine period. According to its epigraph over the entrance door the church was built in 327 AD by Helena, the mother of Constantine (Mimiroglu, 2012: 56). When Helena was going on Pilgrimage to Jerusalem she stopped in Iconium and saw the carved shrines dated to the early Christianity in Sille and she decided to built a church in this city. So the building was established by Helena to the name of Mihail Arhankolos. It was repaired by Ottoman Sultans Mahmut II and Abdulmecit (Konyali, 1964: 1078) (Ozonder, 1998: 105). The structure has a Greek cross plan. It is one of the first Christian shrines that was built with face stones and rubble dated to Byzantine period (Tapur, 2009: 480).

The church was renovated by the municipality. All the walls and the dome was rebuilt and the paintings of Jesus, the Virgin and the Apostles' Creed dated to late Christianity are restored. The renovation was finished in 2013 and the church is serving as a museum since than (Selcuklu Belediyesi).

### **Hizir Ilyaslik Church – Kiriakon Church**

The structure is in Subasi district of Sille. It was built between the 10th and 11th centuries and was used as a jug production factory in the 20th century. The carved church has a closed greek cross plan. There is a rectangular entrance section (narteks) in the west side of the building. The cross plan of the church consist of four sections and corner rooms. There are pendentive domes carved to rock over each section. In the east, there are half circle main apside and side apsidess in each sides. There are some places opening to a long corridor near the building. (Mimiroglu, 2012: 70)

### **Koimesis Tes Panagias - Panaya (Banaya) Church**

The structure is one of the early Christianity cave churches on the skirts of the mountain which is in the South of Sille. The building was carved on rocks around Dikili Kaya district. Some graves have been found during cleaning process in the summer of 2006. Paintings on the walls still can be seen. The falling asleep in death icon which is called Koimesis, also the name of the church is still visible. On the left side of the painting, the baby spirit of Mary in Christ's hug was illustrated and on the right side there are Saint figures with lights around their heads (Mimiroglu, 2012: 66) (Konyali, 1964: 1090-1091) (Tapur, 2009: 480-481).

### **Monastery in Salasorma District**

The monastory is in Salasorma District of Sille which is in South-west. The structure is located over the road from Sille to Takkeli Mount. It was

built as a carved structure on a rock over the western skirt. The monastery consists of a church, a grave and irregular places. It is a small building with one nave. The North side of the chapel is mostly collapsed and consists of a rectangular planned naos and an apse. In the North-west side of the naos ground, there is a niche of a grave thought to be belonging to an adult (Mimiroglu, 2012: 71)

### **Tepe Chapel – The Milk Church**

Chapel is on a hill in the southwest of Sille. It is also called as Small Church locally. According to local the mothers visit the chapel and pray for producing milk for their babies. That's why the chapel also named as Milk Church. The chapel was built from rubble and has only one nave and covered with vault. There are graves of Muslims and non-Muslims around the chapel (Mimiroglu, 2012: 74).

### **Lystra**

Lystra was an ancient city of Lycaonia in Asia Minor. The Acts of the Apostles reports that it was visited by St. Paul and Barnabas. The site was mentioned on an ancient altar found in the area of Lystra and it helped to identify the site (Columbia Electronic Encyclopedia).

The ancient city of Lystra is located near today's village of Hatunsaray, approximately 34 km southwest of Konya. In 1885, about a mile north of Hatunsaray, J. R. Sitlington Sterrett discovered a stone block on a mound called Zoldera. On the stone there was the Latin inscription where we could see the name "Lustra" which is the Latinized version "Lustra" for the name of the city. The discovery of this monument, erected to honor Caesar Augustus, who founded the Roman colony of Lystra, made identification of the site of ancient Lystra possible (Fant and Reddish, 2003: 240-241).

The city of Lystra appears in the Bible when Paul and Barnabas visited the city on their first missionary journey, from Cyprus to the southern area of Asia Minor. When they visited Pisidian Antioch and Iconium they encountered resistance there and traveled to Lystra (Acts 14:5-20). In Lystra they healed a crippled man and Impressed the inhabitants of Lystra. The people mistakenly believed that Barnabas and Paul were Zeus and Hermes in human form. This misidentification of Barnabas and Paul recalls a legend popular that told how Jupiter and Mercury (equated by the Romans with Zeus and Hermes) appeared in human form to various villagers. After that some Jews from Antioch and Iconium arrived Lystra and turned the people against Paul and Barnabas and they stoned Paul. He was dragged outside the city and left for dead. The following day Paul and Barnabas traveled to Derbe, then passed through Lystra, Iconium, and Antioch again as they reversed their travels to head back to Antioch of Syria (Acts 14:21). During

Paul's second missionary journey he revisited the cities in southern Asia Minor, including Lystra (Acts 16:1–3). When he left Lystra, he took Timothy with him. He was son of a Jewish mother and a Greek father. Timothy was probably born in Lystra (2 Timothy 3:10, 11). Two letters in New Testament have the name of Timothy. Paul visited Lystra again on his third missionary tour (Acts 18:23). (Fant and Reddish, 2003: 242), (<http://www.biblecharts.org/biblelandnotes/Lystra.pdf>)

There are very few monuments and a mound survived until today in Lystra, that can help to imagine the status of Lystra during the years Saint Paul visited here. There are not much visitors that go for the ancient site of Lystra today. Because it's an unexcavated mound that offer enticement mostly to the visitors or pilgrims seeking to trace the route of the Apostle Paul (Fant and Reddish, 2003: 242).

### **Kilistra**

The ancient city of Kilistra is located within the boundaries of today's village of Gokyurt. Village of Gokyurt is on the 16 km southwest of village of Hatunsaray (Lystra) (Ozkan, 2001: 166). It is thought that when Lystra became an important city of Lycaonia in Asia Minor, Kilistra was used as a castle city and refuge area. People of Lystra who became Christian and escape from the Roman pressure settled here (Wikipedia- Gokyurt, Meram).

The name of the city Kilistra was mentioned on an epitaph found in Konya and belonging to 4th century AD. Besides, on a excavation and cleaning work in 1998 another epitaph belonging to 1st century AD was found on which the name of Kilistra was mentioned. In the excavations of Kilistra some seramic pieces dated to Hellenistic period were found and it is though that history of ancient city Kilistra goes to that period (Ozkan, 2001: 166-167).

The ancient city of Kilistra is on the ancient Royal Road-Via Sebaste of Roman period. One of the Anatolian cities that the Apostle Paul visited during his journeys mentioned in Bible, Lystra is also on Via Sebaste like Kilistra. Kilistra was not mentioned in Bible as a city that was visited by Paul. But it is thought that during his journeys between Iconium and Pisidia Antiocheia (today's Yalvac) Paul could stopped in Kilistra. The area around Sumbulini Church is called as "Paulonu" by locals and this is an evidence that the name of St. Paul still lives here (Ozkan, 2001: 166-167), (T.C. Kultur ve Turizm Bakanligi).

Kilistra was discovered by scientists at the beginning of 1990s. The first of the travelers who visited the region since the 19th century was W. M. Ramsay in 1880s. The researcher determined the name of the region as Kilistra from an epitaph he found in Konya. Between the years 1883-1884

Prof. Sterrett visited the region and indicated that there were lots of rock carved structures in the city. Gertrude Bell visited the city in 1907 and 1908 with W.M. Ramsay and he gave place to his research findings of Kilistra in his book "The Thousand and One Churches" (Ramsay, 1909: 302, 349,560).

Today the ancient city of Kilistra is a rock carved settlement that is carved to lava composition rocks like Cappadocia Region. The centre of the city is on the lava composition plato where the village Gokyurt exists. It is certain that there is an underground city beneath this mound (Ozkan, 2001: 166-167) (Mimiroglu, 2006: 154). The excavation and cleaning studies in the region revealed rock carved chapels dated to 7th and 8th centuries AD. The other ancient structures in the city are; Royal Road-Via Sebaste, Sumbulini (Paulonu) Church, cross plan Sandikkaya Chapel, rock carved chapels, graves, wineries, water cisterns, observation tower and ceramic ateliers. Sandikkaya Chapel is an uncommon structure since it is one-piece rock carved and dated to 8th century AD. Within the Chapel there are three graves carved to bedrock. (Mimiroglu, 2005: 1) (Ozkan, 2001: 166-171).

## **Derbe**

The ancient city of Derbe was located southeast of Iconium (Konya) in Lycaonia which was an ancient region of south-central Asia Minor. Several sites have been proposed for the precise location of Derbe, most of them located near Karaman (Ancient Laranda). Karaman is a city of today's Turkey and 110 km away from Konya. It was a town of Konya till 1989 and became a city in this year. The location that has the strongest claim to being the ancient site Derbe is the mound "Kerti Hoyuk" which is near the village of Ekinozu (Asiran). Ekinozu is 20 km away from Karaman (Fant and Reddish, 2003: 175-176).

Because of the scarcity of ancient literary references to the city and the absence of any archaeological excavations at the site not much is known about the history of Derbe. Scattered fragments on the surface of Kerti Hoyuk indicates that the site was occupied at least as early as the Hellenistic and the Roman periods. The Greek geographer Strabo (1<sup>st</sup> century AD–1<sup>st</sup> century BC) mentions Derbe as the headquarters during the 1<sup>st</sup> century BC of a local chieftain named Antipater Derbetes, who also controlled the nearby city of Laranda. (Fant and Reddish, 2003: 175-176)

The city has a biblical significance since it was one of the cities visited by Paul and Barnabas during their first missionary journey. It sat on a major route connecting Iconium to Laranda and was about 60 miles from Lystra. Paul and Barnabas fled to Derbe and Lystra on his first missionary journey when city officials of Iconium plotted to stone them (Acts 14:6-21). Paul does not mention suffering any persecution in Derbe (2 Tim 3:11) <http://www.bibleplaces.com/derbelystra.htm>. They preached the good news

in Derbe and were very successful. They made many converts and disciples in that city. After this, Paul and Barnabas travelled back through Lystra, Iconium, and Antioch, strengthening and encouraging the disciples in each city to continue in the faith. <http://unbound.biola.edu/acts/index.cfm?lang=English&item=derbe1>. Acts 14:20-21 briefly describes their visit to the city after they had preached in Pisidian Antioch, Iconium and Lystra. Acts 16:1 simply mentions that Paul visited the city, without giving any details of what took place during the second visit. During this third journey, one of Paul's travelling companions was a native of Derbe, a man named Gaius (Acts 19:29, 20:4). (Fant and Reddish, 2003: 175-176)

The ancient Derbe has almost vanished today. A few inscriptions, coins and literary references and an unexcavated mound stand (Fant and Reddish, 2003: 174). Derbe Church is one of the Christian churches that was first built in the world. It was built 13 years before the Church of Virgin Mary in Ephesus (built in the beginning of the 5<sup>th</sup> century AD). The ruins of Derbe Church, which was built by Paul and Barnabas, are still underground the Kerti Hoyuk today (Bingol, 2007: 468).

## Conclusion

Cultural tourism can be defined as the making of ancient or contemporary cultures a product for tourism. With faith tourism this time ancient or contemporary religions, the lifestyles, places and all rituals over worshipping connected with these belief systems will be products for tourism. Since religions are one of the most important aspects of cultures, faith tourism is naturally counted within cultural tourism.

Believers of different religions visit holy places of their religion to become a pilgrim or to see the magical places where the events described in sacred texts have occurred. By this way they are able to fully comprehend and see through the tenets in their holy books. Visits made with these instincts are the starting points of the faith tourism movement. Turkey, with its wealthy cultural legacy of different religions, is one of the outstanding destinations of these holy visits.

There is no doubt that Turkey has an outstanding potential in terms of sun, sea and sand tourism. But these three elements of tourism are also abundant in the entire Mediterranean region. Turkey needs to use its cultural and faith tourism potential as competitive tools to make a difference. Tourism efforts need to be focused on this area.

Konya, hosting Mevlana Museum, theological schools, mosques, churches and footprints of Saint Paul has an important faith tourism potential both in terms of Islam and Christianity. Christian pilgrims are visiting Konya



to experience biblical sites of Iconium, Lystra and Derbe. Even though Derbe is not within the provincial borders of Konya, it is a nearby destination.

Today there are not many structures standing from the times of Saint Paul in Konya, Derbe and Lystra. There are very few monuments and an unexcavated mound in Lystra. The ancient Derbe has almost vanished today and ruins of the city are still underground the mound. Monasteries and churches of early Christianity in Sillye are destroyed and little has been standing from those times. Nevertheless this situation doesn't change the biblical significance of these places. They are still holy and believers are visiting these places to breathe the spiritual atmosphere here. But the number of these visits is not in sufficient number compared to their biblical significances. One of the reasons of this case is the lack of standing structures of early Christianity as mentioned above. Another one is the lack of presentation. And the lack of information about the biblical history of these places is also another problem.

Konya has a capacity of accommodation in sufficient number. Even though there aren't direct international flights, with its airport Konya has an advantage of transport by airline for international connecting flights. Gathering its advantages of transportation and accommodation with its potential of biblical sites can be a starting point to make Konya a destination of faith tourism for Christian tourists. Suggestions can be specified as follows;

- Excavation and rescue works can be conducted or ongoing ones can be accelerated to uncover hidden richness of Derbe and Lystra,

- Existing churches and monasteries can be restored such as Aya Elenia Museum,

  - Ruins of churches and monasteries can be protected,

  - Roads connecting Konya city centre to biblical sites can be improved,

  - Books and other documentary can be published to gather the information about history of Konya in terms of its biblical significance,

  - These printed materials can be used as a promotion tool both for suppliers of faith tourism and for visitors,

  - Guides must be given enough training and information,

  - Since there are not many structures standing today; films, animations and slides can be prepared to animate the atmosphere of ancient times of Iconium and the travels of Saint Paul,

  - Exhibition centres can be constructed in Lystra, Kilistra, Sillye and Derbe to display both printed and visual materials,

  - Konya must be included into package tours of faith tourism that are themed of travels of Saint Paul,

  - Tourist who visit the holy Christian places also want to pray sometimes in the antique churches. Konya has an advantage to meet this

desire. Even though its not antique the Church of St. Paul in Konya city centre and Aya Elenia Church in Silile can serve to Christians who want to pray during their visits. But these places can be increased in number by restoring antique sanctuaries,

Researches show that there is a direct proportion between participation in faith tours and age. Faith tourism can be planned in coordination with the tourism of the third age group. Members of this age group can be channelled into faith tourism and services can be provided by taking into consideration the special conditions of this age group,

Culture of tolerance to other cultures and faiths must be instilled to locals.

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# FOOD SAFETY AND VETERINARY LEGISLATION COMPARISON WITH ACQUIS

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## Abstract

This paper discusses food safety and veterinary service legislation in Albania and their degree of the approximation with the EU legislation. This paper also covers a description of the competent authorities in Albania, empowered with inspections and monitoring duties of the market but also with tools for providing adequate response to eventual emergencies. The paper underlines the outcome of the latest Progress Report on Albania, especially with regard to the building capacity of the competent authorities and further approximation of the domestic legislation with the *acquis communautaire* obligations of the Republic of Albania in view of the provisions of the Stabilization and Association Agreement. At the end, the paper gives conclusion as per the deficiencies that are observed in the enforcement of the provisions of the legislation.

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**Keywords:** Acquis communautaire, food safety, veterinary

## Introduction

This paper will deal with the food security and veterinary service, aspects believed to be closely linked together in order to form a sort of ‘food chain security’. The paper will discuss and will make a presentation of the competent authorities in charge of ensuring food safety and quality and animal control as welfare (the authorities are interconnected with each other and under the Ministry of Agriculture, Rural Development and Water Administration). Additionally the paper will analyze the work performed by the legislator on one hand with regard to the measures taken in the Republic of Albania by focusing on the approximation of domestic law with the *acquis communautaire* (giving so a wider view of the steps taken in fulfilling the requirement as per the Stabilization and Association Agreement).

The status of alignment of the domestic legislation with the *acquis*, will primarily be based on the provisions of the Decision of Council of Ministers no. 438, dated 02.07.2014 “On National Plan for the European Integration 2014-2020” (COM Decision 438/2014), which sets out *inter alia*

short and mid-term goals of the Albanian government in the path to the accession the European Union. In the paper we will discuss the main features of the aligned safety food legislation adopted by the Albanian legislator.

On the other hand we make an overview of the work done, in the field, by the state authority to enforce the provisions of the applicable law. This review will rely on the performance reports of the authority. Moreover we will present and describe the organization of the state authority and its modus operandi mostly in the field of inspections.

### **Legislation and competent authorities**

According to the latest Progress Report on Albania, released October 2014, “...*there has been little progress in the area of food safety, veterinary and phytosanitary policy. Risk assessment capacity has not yet been established and systematic inspection plans have not yet been adopted. The proper functioning of relevant services is hampered by overlapping responsibilities and by the lack of communication, properly qualified staff and financial resources. A comprehensive strategy clarifying the legal, institutional and administrative framework needs to be adopted. Overall, preparations remain at an early stage.*” (EU Commission Progress report on Albania, 2014) The foregoing statement might be considered the leitmotiv of all the Progress Reports on Albania in last period from 2012 – 2014, thus one can easily state that the sector is stalling and requires strong initiatives from the central government and competent authorities. The above conclusion draw by the EU commission is based on Albania’s engagement in virtue of its ambition to join the European Union. On June 2006 the Republic of Albania and EU members entered into Stabilization and Association Agreement. Based on article 70 of the said agreement the Republic of Albania must align its legal framework with the European legislation. The foregoing article establishes that, Albania shall endeavour to ensure that existing laws and future legislation will be gradually made compatible with European legislation, but it should also ensure that existing and future legislation is properly implemented and enforced (Stabilization and Association Agreement, 2006).

The EU-Albania Stabilization and Association Agreement forms part of a broader regional process (the Stabilization and Association Process) and aims to support Albania’s economic transition, as well as to strengthen its integration into the EU Single Market. Albania’s reform agenda under the Stabilization and Association Agreement covers areas from political dialogue and regional cooperation to freedoms in the movement of goods, services, workers and capital. Other topics covered are the mutual co-operation in justice and internal affairs. The Stabilization and Association Agreement imposes extensive trade liberalization with EU and other neighboring

countries and establishes for non-tariff liberalization through the gradual harmonization with EU framework as well directives in the areas of standards, certification, customs administration, competition, and intellectual property rights (Zahariadis, 2007).

In the area of food security the relevant articles of the Stabilization Association Agreement dealing such aspects as indicated above are considered articles 70 and 95 of the agreement. Although there is no direct reference to food safety from the combined reading of the two articles it is understandable that emerges a duty to align domestic legislation with the EU legislation (art. 70) and a general provision to comply as per article 95 dedicated to agriculture and agro-industrial sector.

On food safety the main piece of EU legislation is considered the Regulation (EC) No. 178/2002 of the European Parliament and of the Council dated 28 January 2002 laying down the general principles and requirements of food law and health protection, establishing the European Food Safety Authority and laying down procedures in matters of food safety (Regulation 178/2002).

To this effect, the Albanian parliament passed on 28.01.2008 the Law no. 9863 "On food" (Food Law) which according to the COM Decision 438/2014 partially reflects the provisions of Regulation 178/2002.

The Food Law aims at providing the basis for securing a high protection of health and consumers' interests. The law *inter alia* sets out the general requirements on food security and hygiene including pet food. It determines general requirements on labeling food and pet food, those related to the placement into the market of the so-called new food and new food for animals and its applicability is extended to all types of production, processing and distribution. Additionally the Food Law establishes the National Food Authority, as the authority in charge for *inter alia* inspection regarding food quality and security. The National Food Authority is a legal entity under the dependence of relevant Ministry of Agriculture, Rural Development and Water Administration and is headquartered in Tirana.

From the reading of the law it is observed that it generally incorporates the main provisions of the Regulation 178/2002 including recommendations such as discussing and regulating *inter alia* in one document criteria for human and animal food. On the other side as indicated above the National Food Authority (NFA) while headquartered in Tirana, operates through regional directorates all over the country.

The NFA is the responsible structure to monitor food safety in order to fulfill the legal, economic and social requirements. As such its field of operation covers (1) the risk assessment process in food, feed and plant protection; (2) control practices in unification of food, feed and plant protection at national level; (3) coordinating authorized laboratories

activities; (4) blocking temporarily or permanently the activity of food and feed business operators do not meet food safety standards in force (NFA, 2015). In compliance with the provisions of the Regulation 178/2002 the Albanian authority is equipped also with scientific laboratories and experts.

According to the Annual Performance analysis of the NFA for 2014, this entity for the first time since its creation has drafted on a risk-based methodology the Formal Annual Plan Control and the Sampling Plan for 2015. These plans were required from the Stabilization and Association Agreement and they will serve for the formal inspections to be realized according to EU standards. For 2014, this entity has realized 17,264 inspections for the non-animal origin products; 12,446 inspections for the animal origin products; 4,096 inspections. Still some of the main problems raised from the 2014 activity were deficiencies in human resources, in the funds dedicated to this entity, and necessary infrastructure (NFA, 2015).

The COM Decision 438/2014 describes the situation as of the year 2014 as generally optimistic. In the chapter dedicated to food safety the government states that in the area generally has been made progress. The National Food Authority has strengthened its capacities and operates in 12 regions of the country.

As for the aspect of placement of the food into the market it has been approved the package on food hygiene such as Order no. 292/2006 dated 12.06.2006 “On the approval of the regulation on health conditions for the production of fresh meat and respective placement into the market”. The Order 292/2006 issued by the minister of agriculture determines health conditions which fresh meat should met during production and marketing. The order partially reflects provisions of Directive 64/433/CEE.

Another piece of legislation is the Order no. 5, dated 09.01.2007 “On the approval of the criterion of pureness for certain authorized additives” which as well partially reflects the provisions of Directive 95/45/CEE.

Certainly the above is not an exhaustive list of the legislative acts adopted by the Albanian legislator in the field of food security.

On the other side the veterinary service in the Republic of Albania is based on Law 10465, dated 29.09.2011 “On veterinary service in the Republic of Albania” (Law 10465/2011). Likewise the legislation on food also the Law 10465/2011 has been partially approximated with the applicable EU legislation however the said law incorporates provisions of directives such as Directive 82/894/CEE, Directive 86/609/CEE, Directive 90/425/CEE, etc. The competent veterinary authority is the Directorate of Veterinary within the Ministry of Agriculture, Rural Development and Waters Administration. The directorate is responsible for the welfare and identification of the animals as well registration of farms.



According to data furnished by the COM Decision 438/2014 the regional veterinary service is composed of 157 veterinary officials distributed in 12 regions (6 to 20 veterinary per region). In each of the regions it is established the Veterinary Sector part of the Agricultural Regional Directorate (COM Decision 438, 2014). The veterinary officials are responsible for the enforcement of provisions of Law 10465/2011 and in particular they perform the identification and registration of animal, control the import/export of the same and as well are responsible for animal health.

Veterinary officers carry out controls and inspections in farms, markets and animal fairs, etc., as well as the indicated above inspectors (veterinary) identify and perform registration of animals, control their pharmaceuticals and sale.

As indicated above Law 10465/2011 has been partially approximated with the *acquis*, however it aims to set out basic principles for health protection of animals and their welfare, this as per the standards of World Organization for Animal Health and those standards applicable in the European Union. Additionally, by the provisions of the law, the Albanian legislator also aims to provide for the regulation, organization, financing of the veterinary service, determines its responsibilities and procedures to be followed by veterinary officers. Additionally the law addresses the protection of public health from transmissible zootechnical disease, this in alignment with the approach of the European Union.

In conclusion and in spite of our efforts we are not able to produce statistics with regard inspections effectuated by the veterinary service in Albania as to the best of our knowledge no such data are available for consultation.

Notwithstanding the above, for purposes of this paper we provide the findings of an audit carried out by the Food and Veterinary Office (EU) in the ambit of assessment of performance of the Albanian competent authorities with regard to supervision of public health conditions of the production of eggs and egg products intended for export to the European Union. The audit concluded that the Albanian legislation (export of eggs) was broadly in line with the *acquis*, however there is room for improvement with regard the certification system. The audit points out that due to lack of unique identifying number in the export certificates the authenticity of the certificate itself is compromised as is missing the link between such documents and certifying officer (FVO, 2014).

## **Conclusion**

The paper has shown that in general the domestic legislation is in line with the *acquis*. However deficiencies are observed in the enforcement of the provisions of the legislation.

The 2014 Progress Report indicates that little progress has been done by the country in the last year. In quoting the report “...*risk assessment capacity has not yet been established and systematic inspection plans have not yet been adopted. The proper functioning of relevant services is hampered by overlapping responsibilities and by the lack of communication, properly qualified staff and financial resources...*”. It is clear that the main issues are related to the poor enforcement of the provisions of the law and not the law itself (although not fully approximated). This is a characteristic found also with regard to other aspects, for example in intellectual property rights enforcement, for which the conclusion of the report are very similar. In short the main objective should be increasing of competent authorities’ human resources expertise and awareness with regard to their duties and functions.

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# **ASSESSING THE SIGNIFICANCE OF PLANNING APPROACHES IN PUBLIC ADMINISTRATION: CASE OF TURKISH MINISTRY OF CULTURE AND TOURISM STRATEGIC PLAN (2010-2014)**

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## **Abstract**

Strategic planning approaches which were come up and developed within private sector and adapted into public administration, play a significant role in the development and protection of the future roles of organizations. Organizations have been pursuing one or more of these approaches and developing strategies in order to have a point of view for the future. The main aim of the study is to analyze the strategic plan of the Ministry of Culture and Tourism (MoCT) between the years 2010 and 2014 with respect to strategic planning approaches. Firstly, the conceptual framework that consists of strategic planning and management will be scrutinized. Then, planning approaches which are the fundamental theme of the study will be dealt in detail. Finally, the appropriate strategies in the 2010-2014 MoCT strategic plan will be classified and evaluated by using the tables of strategic planning approaches. This study reveals that the strategies of MoCT's strategic plan 2010-2014 were mostly developed and formed in accordance with preactive and proactive approaches.

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**Keywords:** Strategic Planning and Management, Proactive Approach, Preactive Approach, Reactive Approach, Inactive Approach

## **Introduction**

Strictly centralized and introverted organization model based on Weberian bureaucracy have been changed with the rapid technological revolution after 1980. New conditions brought by information age and new environment first triggered transformation in the intensely competitive private sector. Contingency theory caused significant changes in functioning and structure of public and private organizations, suggesting that there cannot be a single and best approach for an active and efficient organizational structure (Drucker, 2014). According to contingency theory, every organization must determine alternative policies that take into account their mission, targets, internal and external environment. Strategic planning, defined as comparing corporate goals and current situation to determine future action became a prerequisite of survival for organizations and institutions in an environment surrounded by uncertainties. Globalization brought by information age influenced socio-cultural structure of communities deeply and prompted changes in public sector as well. Citizens have become more conscious of public services, and have begun to demand quality, efficiency and effectiveness (Eryılmaz, 2013:52).

The goal of strategic planning in public organizations is to develop social, physical and cultural projects for the citizens and support non-governmental organizations in order to achieve this goal. The participation of stakeholders in planning, decision-making and implementation stages is overwhelmingly important in order to have an effective strategic planning. Effective and efficient public administration mechanisms can be established in accordance with citizen expectations as well as mission, vision and goals that are determined with open discussions among all stakeholders. Every institution follows different planning approaches during the process of strategic planning. Some organizations follow proactive and pre-active approaches in order to control factors that may occur in future, grow, develop and act properly against threats and use opportunities while others follow inactive and reactive approaches in order to stand against change and preserve their status. This study will analyze the MoCT's 2010-2014 strategic plan with regards to planning approaches. 2014-2014 strategic plan includes 5 objectives, 9 goals and 87 strategies and is evaluated twice a year through reports by ministry units (Kültür ve Turizm Bakanlığı, 2010). In order to make an analysis Ackoff (1974)'s planning approaches were chosen as a reference and applied for MoCT's strategic plan.

## **Conceptual Framework**

This part deals with the conceptual framework of the study. Concepts of strategic planning and strategic management will be explained and evaluated with in case of their impacts on public administration.

## **Strategic Management**

Management is highly essential for organizations of all sizes (Tortop et al., 1993: 20) and is generally defined as the process of coordinating human and other sources in order to manage the stated goals and objectives (Rachman et al., 1993: 54). Ülgen and Mirze (2004:21) defined management as using production resources efficiently for a management or organization to reach its goals. Strategic management is a concept that has been used since the second half of the 20<sup>th</sup> century in management and administration fields. Despite a lack of shared belief on the concept at that period, strategy was deemed to have a meaning synonymous with regulating the relations with the environment and activating the resources in order to have superiority against rivals (Güçlü, 2003:70). From a modernist point of view, Ülgen and Mirza (2004:26) define strategic management as using production resources optimally to gain sustainable competitive superiority. Dinçer (1992: 22) define strategic management as “the whole set of decisions and actions to develop, implement effective strategies, and evaluate their outcomes”. In other words, strategic management is managing the organizations in a strategic way to adapt them to environmental conditions that determine their efficiency and competitive capabilities (Barca and Nohutçu, 2008:337). According to Özgür (2004:234), strategic management may reduce uncertainties, clarify the ways to follow, prevent waste of resources, helps to find out requirements and overcome problems.

Strategic management make great contributions to organizations in some processes. Pamuk et al. (1997: 25-26) lists these processes as strategic production, implementation and slearning. It is stated that strategic management will provide clear goals and objectives, systematize business decisions, give organizations a chance to predict changeable conditions and help managers to figure out basic problems (Jauch and Glueck, 1989:18). On the other hand, strategic management appears as a requirement in public institutions. When compared to private sectors, their activities are closely observed by political parties, public and other stakeholders. Therefore, public organizations and servants need strategic management to have accountability under such pressure. With strategic management, public servants are able to explain and account for their actions, motives and methods clearly (Özgür, 2004:233). It is also indicated that strategic management is vitally significant in fostering organizational communication, authorizing the employees and

making them feel like a part of the institution and increasing organizational skills (David, 1997).

### **Strategic Planning**

Planning is the first and most crucial functions of management that constitutes the core of administrative science. Planning is implemented in every organization and is the starting point of functions. Planning has numerous definitions. In widest terms, planning is activating the resources and working so as to manage previously determined written and unwritten goals or objectives of an organization. (Öztekin, 2002; Gözlükaya, 2007:12). Though planning is generally associated with organizations and individuals, it is stated that governments make plans in economical, political and social areas (Sezen, 1999:35). Organizations began to resort to strategic planning more frequently in the 21<sup>st</sup> century while it was first introduced by private sector in 1960s, followed by public sectors that have initiated to strategic plans in the 1980s (Demir, 2001:8). Bryson (1995:4) defines strategic planning as a systematic effort to answer questions “What is an organization?”, “What does it do?” and “Why does it do?”

Strategic planning is a continuous and systematic process where certain people in an organization make decisions on future targets, methods to succeed those targets and the criteria of achievement (Alpkan, 2000:2-3). Rising competition with information age has made strategic planning necessary for organizations. Organizations need strategic planning in order to adapt to competition, use technology and develop creative skills (Becerikli, 2000:99). Organizations without strategic plan will inevitably fail in rapidly dynamic environment which has full of uncertainties (Özdemir, 1999: 33). Also, organizations without strategic plan both fail to determine mission and vision and have trouble in evaluating unstable conditions (Bircan, 2003: 415). Being a common practice in developed countries since the 1990s, strategic planning and management have started to find a place in Turkish administration after 2002 with the ruling Justice and Development Party (JDP). The need for strategic planning and reconstruction of public management was first revealed in the book titled “Değişimin Yönetimi İçin Yönetimde Değişim”, written by JDP members Cevdet Yılmaz and Ömer Dinçer (2003) to guide public management reform. “The Fundamental Law Plan of Public Administration” based on the principles of the book was approved by the Parliament in 2004 but could not be put into effect due to President Ahmer Necdet Sezer’s veto. However, transformation of public administration was brought into action with other regulations under the “1st Stabilization Program for 2000-2002” between Turkey and IMF. Strategic plan was first defined on the 3rd article of Law No. 5018 “Law on Public Financial Management and Control” while the 9th article made it

compulsory for public institutions to adopt strategic management and make strategic plan. Then, the Law No. 5216 “Law on Greater Metropolitan Municipality”, Law No. 5393 “Law on Municipalities” and Law No. 5302 “Law on Special Provincial Administration” made strategic planning compulsory for all Greater Municipalities, Special Provincial Administrations and municipalities with population over fifty thousand. The first edition of “Strategic Planning Guide for Public Administration” which was published in 2003 within the framework of Law No. 5018 was updated in accordance with the needs and the second edition was published by State Planning Organisation (SPO) in 2006.

### **The Aim and Method of the Study**

The purpose of the study is to classify and analyze the MoCT’s 2010-2014 strategic plan according to the four planning approaches which will be described in the next part of the study. Arslan et al. (2013) used these four planning approaches (Reactive, Inactive, Preactive, Proactive) in order to make an analysis at a local government level while our study intends to analyze the strategic plan at a ministry level in to fill the void in this field. According to Law No. 5018, MoCT has to make a strategic plan. MoCT strategic plan was selected for this study because of the harsh global competition in tourism sector, Turkey’s rising value in tourism sector, contribution of the tourism sector to the Turkey’s economy and the sector environment that has full of threats. The study will evaluate the mission, vision, goals and objectives of the strategic plan in significant detail and strategies and planning approaches will be described and classified by using the table of strategic planning approaches. Percentage of each planning approach in MoCT’s 2010-2014 strategic plan will be put forth to have a comprehensive analysis

### **Planning Approaches**

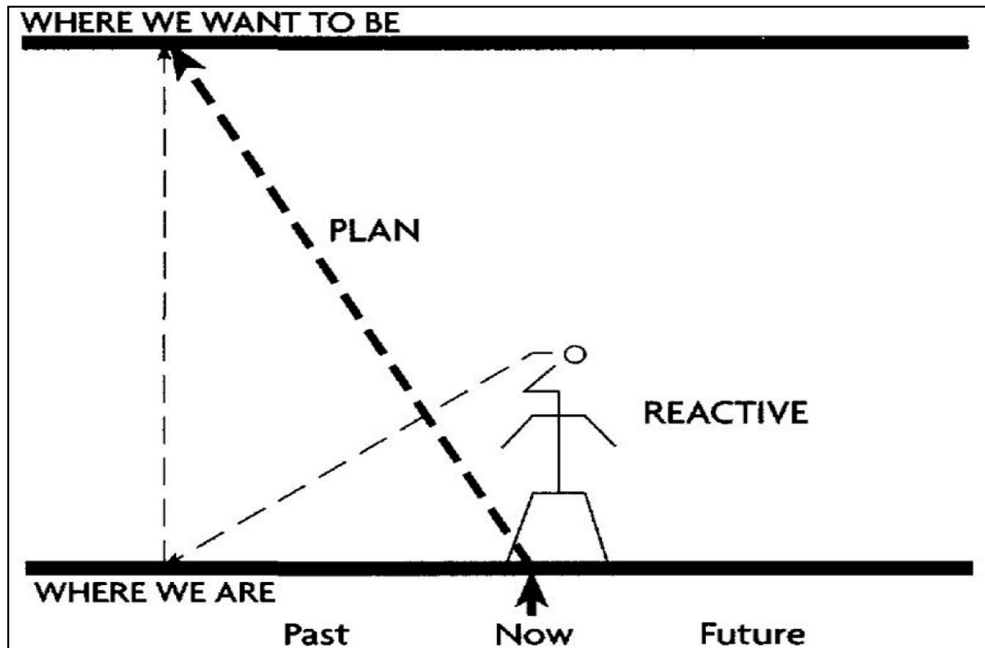
Organizations make strategic plans periodically with a view to attain predetermined objectives. Plans of some organizations consist of shorter-term objectives while others include long-term ones. Therefore, each organization may follow one or more planning approaches. This part of the study scrutinizes four planning approaches in the literature to provide a framework for the analysis and evaluations in the next section.

### **Reactive Approach**

Reactive strategies are characterized by considering negative factors that may be caused by external environment in the future (Şafaklı, 2003: 219-220). Organizations adopting reactive strategy carry out observations and research for current problems instead of focusing on opportunities.

Reactive approach is characterized by a longing for the past and a remarkable resistance against change. In reactive approach, muddling through model is more frequently used rather than scientific methods. Moreover, intuition, common sense and past experience are used in coping with problems. Reactivists do not like complexity and prefer finding simple solutions to problems. Unlike inactivists, reactivists prefer swimming in well-known waters (Ackoff, 1974: 430-431).

**Figure1.** Reactive Type of Planning



Source: Ackoff, R. L. (1999). *Re-Creating the Corporation*, Oxford University Press, Oxford.

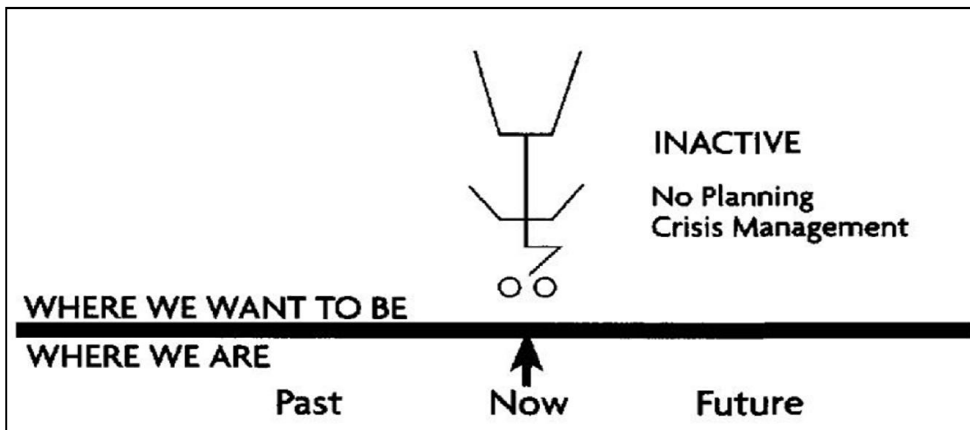
Based on improving the malfunctioning aspects of organizations, reactive approach focuses on operation rather than planning (Solmaz, 2006: 153) and emphasizes using all resources effectively in order to detect and solve problems. Having said that there are similarities between decisions in reactive planning approach and incremental approach, which is one of the public decision-making models. Introduced by Linblom (1959), incremental model is characterized by small and additive steps based on past experiences (Lindblom, 1959: 79, Birkland, 2005). Therefore, primary aim is to succeed stability (Dye, 2008: 20) through short-term solutions needed for change (Stewart, 2009: 41). As it is applied in incremental model, current problems are settled through simple solutions based on past experiences.



### Inactive Approach

Inactivists believe that procedures and bureaucracy are more substantial than results. Plans and managements with inactive approach are characterized by extensive satisfaction with the current situation. Pursuing a conservative management philosophy, inactive approaches are against external intervention even if they are useful for the organization. According to inactivists, any attempt to improve things will make them worse. Inactivists do not believe that problems will be settled through future-planning. Moreover, inactivists claim that there is no need for improvement if there is not a serious crisis or a threat to the organization and stability.

**Figure 2.** Inactive Type of Planning



Source: Ackoff, R. L. (1999). *Re-Creating the Corporation*, Oxford University Press, Oxford.

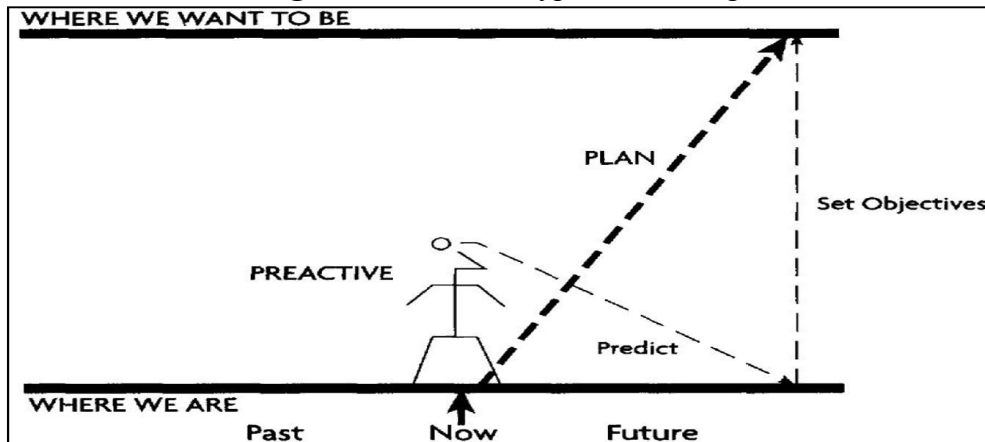
Even in crisis, minimum reaction is deemed sufficient to overcome the crisis. Unlike reactive approaches, suppressing the indications of the problems is preferred to resolving the problem (Ackoff, 1999: 50-51). Inactive approach is characterized by preserving the current situation and an abstention from using opportunities. Therefore, organizations that pursue inactive strategies are introverted and survive with subsidies.

### Preactive Approach

Pre-activists believe that future will be better than today and past but we should be well-prepared for it. Growing, developing and being stronger are the basic objectives of preactive approach. A good example of preactive approach is detecting and settling problems before they get more complicated and serious (Ackoff, 1974 :432). According to pre-activists, taking future under control is difficult but future-planning may help to take measures against negative effects that may occur in future. Unlike reactive plans, preactive plans are based on wisdom, science and technology (Ackoff, 1999: 52). Organizations that pursue preactive approach do not attempt to

influence, compete or cooperate with other systems in the environment. This implies that organizations that follow preactive approaches do not aim to change the whole environment but rather aim at changing their own systems. Thus, preactive approaches do not have a revolutionary identity (Ackoff, 1974: 432).

**Figure 3. Preactive Type of Planning**



Source: Ackoff, R. L. (1999). *Re-Creating the Corporation*, Oxford University Press, Oxford.

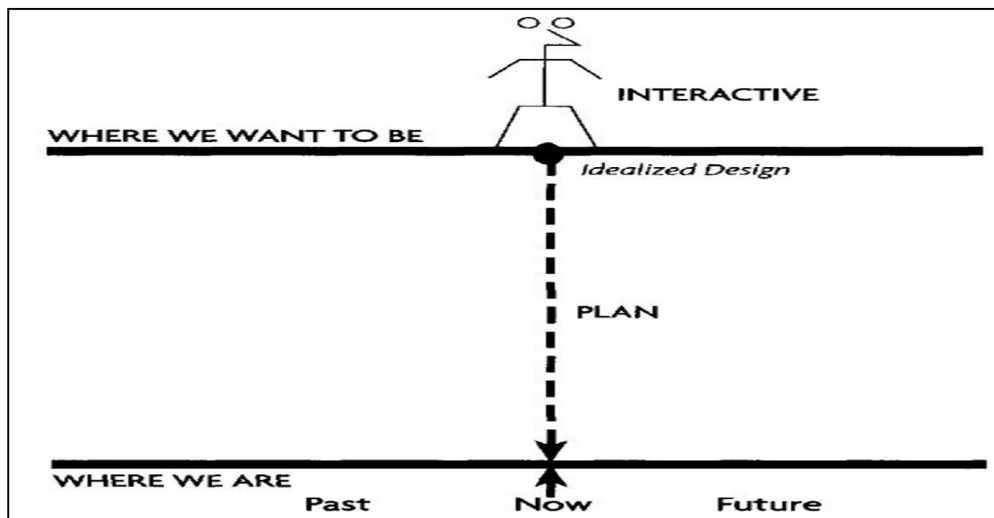
The difference between reactive, inactive and preactive approaches is stated with a metaphor: A man swimming in the ocean is pushed away from the shore by a counter stream. If the swimmer is reactive, he will try to swim back to the shore and swim against the tide. If he is inactive, he will try to fix and stay in his location despite the tide. If he is preactive, he will try to check the tide and reach the target before anyone else. After reaching the target, he will climb onto the shore and receives a passage from those after him (Ackoff, 1999: 52).

### **Proactive Approach**

Proactive approach is also defined as interactive approach and its basic goal is to design the future. Proactive approach is characterized by an effort to do more than what is predicted for future. Proactivists emphasize that technological and social changes must be taken into account and claim that past experiences are not appropriate references in future-planning (Ackoff, 1974: 433). In addition to this, proactive approach focuses on organizational structure, functioning, distribution of resources. Unlike preactivists, proactivists intend to change the systems in the environment through coordination. Proactivities are in an effort to alter not only the systems in their field but also all the systems in the world. Regional organizations such as the European Union (EU) pursue proactive approaches

in dealing with problems and cooperate with member and candidate countries on various political issues. For example, joint tourism policies are supported and objectives are set in order to enrich touristic activities with the EU “Tourism Action Plan” (Emekli, 2005: 101). Bateman and Crant (1999) summarize the basic aspects of proactive approach as follows: In proactive approach, opportunities for change are sought, change-oriented objectives are set, probable futures problems are predicted and precautionary measures are put into practice. Proactive strategies are likely influence environmental powers and produce alternative ways through extensive changes about an uncertain future (Şafaklı, 2003: 219-220). Proactive approaches are radical, revolutionary ones and dominate a wide geography with multiple players. When compared to preactive approach, proactive approach involves longer-term plans and uses information as an important means of settling problems. Thus, organizations pursuing this approach take steps in order to fill the gap between current situation and future target of their organizations (Ackoff, 1999: 55; Sadler, 2003: 147).

**Figure 4.** Proactive Type of Planning



Source: Ackoff, R. L. (1999). *Re-Creating the Corporation*, Oxford University Press, Oxford.

An important component of proactive planning approach is coordination, which is one of the principles of administrative science. Coordination makes it possible for the organizations to adapt to varying conditions more easily and carry out activities in accordance with their purposes (Tortop et al., 2010: 103). It is also remarkable in securing unity of action and cooperation within organizations. Thus, coordination in organizations is as functional as the conductor of an orchestra (Öztekin, 2012: 103). In organizations that act in accordance with proactive approach,

all the staff are provided relevant information and included in planning process. For example, if a plan to reduce crime rates is needed, all the factors that affect and generate crime must be looked over together. As plans in organizations lose their value and importance by time, they must be updated, extended and modified periodically. According to proactivists, strategic plans must be sustainable and changeable due to the needs of the organization (Ackoff, 1974: 435). Organizations that persist on proactive approach have an advantage against external threats because proactive approach includes precautionary plans to deal with the crisis (Tağraf ve Arslan, 2003: 150-158).

1-) Focusing on current problems, developing instantaneous ways of solutions.	<p>a) Completion of the work on intangible cultural heritage of our country (Kültür ve Turizm Bakanlığı, 2010: 63).</p> <p>b) Improving the publications on Turkish culture, art and literature in terms of quality, number and variety, enriching publications (p.65).</p> <p>c) Taking measures against violations of rights (p.67).</p> <p>d) Coordinating with relevant units to improve ministry staff satisfaction to increase potential for efficiency, train the staff (p.68).</p> <p>e) Implementing active inner-service training programs (p.68).</p> <p>f) Raising the share from general budget to a level that suits service requirements (p.68).</p> <p>g) Enhancing physical working conditions of the staff (p.69).</p>
2-) Experience, intuition, common sense are important in problem solving.	<p>a) Employing qualified staff for central and provincial organization (p.68).</p>
3-) Simple solutions are offered when problems turn into threats.	<p>a) Staff employment is stabilized through promotion based on qualification (p.68).</p> <p>b) Reviewing and restructuring legislation related to Ministry's activities and organizational structure (p.68).</p> <p>c) Improving personal rights (p.68).</p> <p>d) Raising the share from general budget to a level that suits service requirements (p.69).</p> <p>e) Settling problems and disorders in electronic transactions (p.69).</p>

#### 4. Evaluation of MoCT's 2010-2014 Strategic Plan According to Planning Approaches

**Table 1. Evaluation of MoCT's 2010-2014 Strategic Plan According to Reactive Approach**

Table 1, which demonstrates the basic principles of reactive approach includes 13 strategies. This means that %17 of the strategies in the strategic plan of MoCT were prepared in respect of reactive approach. By developing these strategies, MoCT focuses on current problems and developing instantaneous ways of solutions. Moreover; experiences, intuitions and common sense have crucial roles in problem solving process. Thus, simple solutions are offered when the problems turn into threats.

**Table 2. Evaluation of MoCT's 2010-2014 Strategic Plan According to Inactive Approach**

1-) Closed to external environment and effects.
2-) Indications of problems are suppressed rather than settling problems.
3-) Current structure and system are preserved.
4-) However, minor steps are taken under very serious attack or crisis.

In Table 2, there are several assumptions that the organizations pursue while making decisions about the crisis, problems etc. In MoCT strategic plan 2010-2014, it is not feasible to find out any strategy which is developed considering inactive approach. Therefore in Table 2, there are only some principles of reactive approach rather than strategies. Even MoCT is a public institution; it is promising not to see any inactive strategy in their strategic plan.

**Table 3.** Evaluation of MoCT's 2010-2014 Strategic Plan According to Preactive Approach

1-) Science and Technology are used.	<ul style="list-style-type: none"> <li>a) Transferring information and documents about cultural assets to electronic media for easy and fast service (Kültür ve Turizm Bakanlığı, 2010: 63).</li> <li>b) Raising public awareness through activities on the importance of cultural assets with mass media and internet (p.63).</li> <li>c) Sharing outcome reports of activities on electronic media (p.65).</li> <li>d) Organizing domestic and international advertising activities through mass media and internet in order to raise culture tourism potential of the country (p.65).</li> <li>e) Supporting the staff in joining educational programs on computer skills, foreign language and post graduate (p.68).</li> <li>f) Taking measures to make the staff use information and communication technologies while providing services to the maximum extent (p.68).</li> <li>g) To empower communications infrastructure in order to make the staff use information and communication technologies while providing services to the maximum extent (p.69).</li> <li>h) Making project research, development and training activities in information and communication technologies in order to protect and introduce cultural and natural assets (p.69).</li> <li>i) Establishing Management Information System (p.69).</li> <li>j) Updating activities electronically and integrating into Management Information System, making it possible to follow and measure (p.69).</li> <li>k) Diversifying the training programs (p.64).</li> <li>l) Meeting the need for technical equipment and expert staff (p.64).</li> <li>m) Increasing the organizational capacity based on expertise (p.68).</li> </ul>
2-) Short-term and minor plans are made for future.	<ul style="list-style-type: none"> <li>a) Supporting local, national and international activities that introduce, support and develop our cultural assets (p.63).</li> <li>b) Transforming cities with rich cultural and natural values into tourist attractions (p.64).</li> <li>c) Activating total quality concept in every aspect of tourism sector, sustaining quality applications (p.64).</li> <li>d) Diversifying surveys and research etc. on the services of ministry, changing demands and trends (p.64).</li> <li>e) To benefit from European Union financial assistance and Community Programs in the fields of culture and art (p.65).</li> <li>f) Strengthening cooperation with national and international culture and art organizations (p.65).</li> <li>g) Incentive rewards and support (p.65).</li> <li>h) Supporting artists of our country in international events (p.66).</li> <li>i) Making art events accessible to larger audiences (p.66).</li> <li>j) Participating in international art events (s.66).</li> <li>k) Increasing the production of works of idea (s.67).</li> <li>l-) Evaluating the staff demands (s.69).</li> </ul>

3-) Change is regarded as an opportunity to use.	a) Preparing, updating the work flow of processes and regulations for activities, financial decisions and transactions and sharing this information with the staff (s.68).
4-) Planning is made through predictions on future.	a) Introducing a physically feasible, public-oriented and sustainable planning approach that supports economical development (p.64). b) Monitoring international culture and art developments on site, sharing evaluation reports with the public (p.65). c) Working for full compliance with inner control system standards (p.69). d) Planning human resources in all units, employing staff with appropriate quantity and quality p.69).
5-) Competition is crucial and there is no need for cooperation with others. organizations	a) Determining demand-oriented advertising strategies and campaigns according to features of markets (p.64). b) Cooperation with private businesses that produce cultural services (p.65). c) Encouraging private sector to participate in activities that contribute to culture, art and guiding them through administrative and technical support (p.66). d) Making satisfaction surveys continuous (p.69). e) Increasing the knowledge level of tourist guides in terms of adaptation to changing tourism trends (p.64). f) Implementing certificate system effectively which will increase the workforce quality (p.64).

Table 3 that is given above shows the strategies which were designed in respect to preactive approach. In the table, there are 36 strategies and this constitutes nearly half of the overall strategies existed in the strategic plan. In other words, %48 of the strategies in the strategic plan which are appropriate to be evaluated are taken place in Table 2. This implies that, MoCT highly follows preactive strategies in order to raise the level of Turkey's Tourism and gain a better reputation. Hence in the strategies, science and technology are eminently used, change is regarded as an opportunity to make a progress and plans are devised through predictions on future. In this way, MoCT organizes every unit of the ministry and the stakeholders in the Tourism sector to be prepared to compete against pioneered tourism countries.

**Table 4.** Evaluation of MoCT's 2010-2014 Strategic Plan According to Proactive Approach

1-) Attempts to design future within an idealist point of view.	a) Supporting local, national and international projects that support, develop and advertise our cultural assets (Kültür ve Turizm Bakanlığı, 2010: 63). b) Planning historical, touristic and natural values of the regions according to 2023 Turkish Tourism Strategy and developing tourism types that suit the current potential (p.64). c) Developing policies and models that will make culture and art events accessible to all social groups, enabling cultural participation (p.65). d) Participating in international culture and art events, informing the public on developments in these fields (p.66). e) Informing and educating the public on violation of rights (piracy etc) (including it in primary school curriculum) (p.67). f) Establishing organizational culture based on qualification, career and categorization (p.68). g) Improving the publications on Turkish culture, art and literature in terms of quality, number and variety, enriching publications (p.65).
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2-) Multi-dimensional management model is taken as the basis.	<ul style="list-style-type: none"> <li>a) Developing positive relations with all actors in advertising sector, mass media and other stakeholders, organizing international meetings, hosting international meetings and participating events abroad (p.64).</li> <li>b) Informing the publishers about using international standard numbers, making them contribute to the system (p.67).</li> <li>c) Adapting to the European Union regulations and establishing the administrative capacity in order to protect cultural and natural assets (p.63).</li> <li>d) Regulation of administrative and legal regulations, adapting to the European Union regulations (p.67).</li> </ul>
3-) Long-term plans are made by using science and technology.	<ul style="list-style-type: none"> <li>a) Establishing Turkey Cultural Portal (s.69).</li> <li>b) Supporting projects on infrastructure and landscaping (p.64).</li> </ul>
4-) Tend to change the functioning of organizational structure and the usage of resources.	<ul style="list-style-type: none"> <li>a) Arranging events according to the expectations of stakeholders (p.65).</li> <li>b) Integrating local administrations into local cultural services, increasing the share of private sector in cultural services (p.65).</li> </ul>
5-) Having coordination and cooperation with systems inside and outside their regions.	<ul style="list-style-type: none"> <li>a) Adapting to the European Union's regulation on preventing illegal import, export and change of ownership of our cultural and natural assets (p.63).</li> <li>b) Cooperating with provincial organizations and Development Agencies to use tourism as an effective means of local and regional development (p.64).</li> <li>c) Participating exhibitions and cultural events abroad in order to introduce in international platform (p.64).</li> <li>d) Strengthening cooperation with national and international institutions in the fields of culture and art (p.65).</li> <li>e) Empowering cooperation with local administrations (p.65).</li> <li>f) Empowering cooperation with local administrations for information-sharing and coordination p.66).</li> <li>g) Sharing information and coordinating with private businesses that produce service.</li> <li>h) Increasing representation and cooperation (p.67).</li> <li>i) Increasing representation and cooperation with all relevant public/private (s.67).</li> <li>j) Having a representative at the World Intellectual Property Organization (WIPO) and World Trade Organization (p.67).</li> <li>k) Increasing joint research and work with other relevant organizations (p.68).</li> </ul>

Table 4 basically provides the main essentials of proactive approach and also the strategies which were listed in the strategic plan of MoCK. 26 strategies are listed as a type of proactive strategy. In overall evaluation, it is possible to claim that %35 of the MoCK's strategies are formulated in accordance with proactive approach. In order to design the future within an idealist point of view, multi-dimensional management model is taken as a basis and long term plans are devised by using science and technology. Furthermore, coordination and cooperation with other countries and international unions are regarded considerably crucial. Thus, various strategies were developed so as to manage the goals which were set in this context.

## **Conclusion**

Strategic planning has been frequently used by both public and private institutions since the 1980s. With strategic planning techniques, organizations clearly set their mission, vision and goals and take further action. Thus, highly-competitive private sector organizations depend on the success of strategic plans. On the other hand, strategic plans are made in public institutions to provide more efficient services. Each organization follows a different planning approach while making strategic plans. Some organizations pursue proactive and pre-active approaches in order to control the factors that may occur in future, grow, develop, move appropriately against threats and use opportunities while others pursue inactive and reactive approaches so as to stand against change, preserve the current status quo. The most efficient method for creating public value is resorting to governance mechanism and involving citizens in administration for their satisfaction. In this context, public organizations rather adopt proactive approaches that intend to influence and change the environment in favour of public values and joint benefit instead of reactive approach that urge private sector organizations to adapt to changeable environmental conditions (Barca and Nohutçu, 2003: 343).

When the strategic plan analyzed, it has been obviously seen that MoCT is a ministry with preactive and proactive approaches unlike most of the public institutions. The percentages are %48 for preactive strategies, %35 for proactive and %17 for reactivities ones. In the classification of the strategies according to planning approaches, it is not feasible to claim that inactive approach has any impact on the strategies. Hence, goals and strategies in the strategic plan are future-oriented and aim to make Turkey a tourism brand. 2010-2014 strategic plan is mostly preactive and partially proactive, enabling coordination all the units of ministry and pursuing a detailed roadmap to achieve the objectives. As can be understood from the tables, 2010-2014 plan was prepared mainly with a preactive approach. The plan has short-term objectives, lacking long-term planning that will establish Turkey's tourism brand and guide the sector. Tourism sector that plays an important role for the national economy must not be left only to private companies. Rather, putting a proactive strategic management into practice in order to guide the sector and transform Turkish tourism into a brand and designing plans for such purpose will move Turkey one step ahead in tourism sector.

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# THE ARCHITECTURE OF EU COMPANY LAW PROVISIONS PROTECTING WHO, WHAT AND HOW?

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## Abstract

The stakeholder-oriented nature of EU company law can be observed in the case of public or private limited liability companies. In the case of the former, protection of shareholders also comes in the forefront and it can be found through the information model legislation, demanding all relevant information to be presented to the shareholders, on the basis of which the shareholders take on the responsibility for their decisions. This shift of responsibility for protection from legislative provisions in the hands of company law actors can be also observed in the case of provisions addressed to creditors, albeit in limited form. The interplay of the two legislative approaches - information based Anglo-American approach and (minimum) harmonization Continental approach can be seen throughout the body of EU company law, including CJEU case law, but the use of one or another does not always depend on the EU legislative policy. The lack of harmonization of some basic company law principles across the national laws of Member States contributes to these shifts of legislative approaches and it does not always coherently follow the aims and goals of EU legislature concerning the internal market and international competitiveness of European businesses. In particular, competitiveness that is based on comparative advantages and not merely on size is at the present moment not promoted at the EU level. A company that focuses on internal growth and decides to change its legal form to public limited liability company faces a vast shift in applicable EU company law provisions that entail high costs, not providing a visible initiative for businesses to undertake such path. A shift in policy considerations would be advisable to achieve the goal that arose in the last decades at the EU level: since internal market is today insured, international competitiveness is next on the agenda and the same policy considerations as they were provided in the 1950s cannot hold today in the changed circumstances.

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**Keywords:** EU company law, stakeholder orientation, EU competitiveness  
Sui Generis nature of EU company law and the influence of related provisions on its protective nature

The EU company law is sui generis type of company law as far as its composition and substance is concerned and EU codex in this field is simply not available. Moreover, its exact substance is determined by national laws of 28 EU Member States, which furthers the diversity of protective instruments and policies. In addition, the CJEU case law and influence of rules in other fields of EU law (capital markets law, corporate taxation law) add its flavor to this equation and at the first glance, deducting a clear picture on its protective nature is close to impossible.

All these rules were not created with unified policy considerations; three phases can be distinguished historically in the EU company law creation[1], creating a net of protective provisions building a policy of protection. But the protective nature spontaneously developed in these phases does not necessarily coincide with this raw phase division. E.g. in the first phase, ending in 1990s, the pro-active role of the EU legislator could be observed and majority of the company law directives were at least envisaged if not passed[2], and this may point in the direction of Continental (German) style of corporate legislation[3] with the protection of shareholders, creditors and others, but a closer look at the enacted provisions shows different tendencies. Even though the First Company Law Directive encompasses substantive rules on the power of representation of the organs and the validity of the transactions entered into by companies with limited liability, the compulsory disclosure provisions seem to be its center of gravity. But the information function of corporate law is not a characteristic of Germany style of company legislation; it is more typical for Anglo-American corporate law theory of company as nexus of contracts[4] and it puts more responsibility on shareholders and creditors to act on the basis of the information given than the Continental-style legislation does. This interaction of both models is seen throughout the EU company legislation and it creates a sui generis protective nature of EU company law as its own EU-style legislation. Determining this spontaneously created protective policy contained in the EU company law legislation is the aim of research that surpasses the scope of this article.

In substance, the EU never developed a truly EU nature of protection of “members and others”. The aim of EU company law has always been the creation and reinforcement of the Internal Market, a task carried through the primary EU legislation with the provisions on the freedom of establishment[5] and the famous Article 50(2)(g) TFEU giving EU the competence to regulate the field of company law by “[c]oordinating to the

*necessary extent the safeguards which, for the protection of the interests of members and others, are required by Member States of companies or firms... ”.* What has been regulated therefore through EU’s facilitation of the freedom of establishment in secondary EU legislation were the safeguards and protective measures already determined at the level of national Member States. Even though these policy considerations belong to national Member States, the sum of them ultimately created EU’s own policy considerations, even if only incidentally. Those policy considerations will be extracted and gathered throughout further research.

For this spontaneously built EU protective policy to be determined with precision, the interpretation of the freedom of establishment in CJEU case law is of relevance; not only in company law cases, but also in tax law cases. CJEU interpretations of the secondary EU legislation add to this equation.

Since EU company law instruments in majority regulate public limited liability companies[6], the sphere of law that regulates their legal position from another point of view needs to be included in the analysis, e.g. parts of capital market law. Indeed, since public limited liability companies need to comply also with the rules of EU capital market law[7], their conduct on the market and their decisions on the form of the company and content of the business they are carrying on depends also on those highly-harmonized capital market rules[8]. At first glance those rules are in majority offering to (potential) shareholders and creditors vast information that can enable informed decision-making on their side[9], which suggests that the provisions on this legislative field lean more in the direction of Anglo-American style of company regulation. Whether this proves true or not is a matter of further research, but if so, this would suggest that the regulation of public limited liability companies is leaning more in the direction of Anglo-American policy of protection in company law.

On the other hand, the regulation of private limited liability companies is so scarce in the EU that indications as to the nature of regulation of this type of companies needs to be deducted from whatever regulation exists at the EU level, again combined with national company law legislation. This is a difficult task, since the EU today encompasses 28 Member States with divergent national company laws, in majority non-harmonized. Since in EU (in contrast with USA and to a certain extent UK) small and medium sized enterprises are prevailing[10], in majority in the form of limited liability company, here legal standards on control transactions or investor protection are not a part of the core principles. In this field, different national solutions need to be explored and summed up to a general EU-wide protective nature in the case of private limited liability companies.

The summary of all of these protective measures contained in different building segments of EU company law creates and represents the sui generis EU protective nature. This nature was arrived to by agreement of EU Member States and was carried out in the EU throughout decades, so it is imaginable to envisage the ability of applying such protective model also to new measures and directions in EU company law. The competitiveness of EU businesses worldwide should be seen as the next objective of EU company law, after ensuring the creation of the Internal Market, and at its best, remodeling some of the failed Company Law Directives under these “common protective principles” might actually bring them to life. A shift in EU company law policy is needed and this time it should focus on small and medium size enterprises as the cornerstone of EU business reality and the basis for its future development.

[1] Pro-active harmonisation phase from 1968 until 1990s, more Anglo-American oriented era until the financial crisis in 2008 and post-financial crisis law making oriented more towards Continental law models

[2] In the period from year 1968 until 1990 First, Second, Third, Fourth, Sixth, Seventh, Eight and Eleventh Company Law Directives were passed, only the Fifth Company Law Directive on the structure of public limited liability company and Ninth Company Law Directive on the law of groups failed and were not enacted until today

[3] See more in J.J. du Plessis et al., German Corporate Governance in International and European Context, Springer-Verlag Berlin Heidelberg 2012

[4] See more in Bratton, William W., "The "Nexus of Contracts" Corporation: A Critical Appraisal" (1989). Faculty Scholarship. Paper 839. [http://scholarship.law.upenn.edu/faculty\\_scholarship/839](http://scholarship.law.upenn.edu/faculty_scholarship/839)

[5] Articles 49 and 54 TFEU

[6] At this point comments on the feasibility of such policy orientation to regulate in majority public limited liability companies are omitted, since they deserve a deeper analysis, not appropriate at this point

[7] More strongly harmonized field of EU law than company law

[8] See more in Grundmann, Stefan; Möslin, Florian (2007) European company law. Organization, finance and capital markets. Antwerpen, Holmes Beach, Fla.: Intersentia; distribution for North America : Gaunt (Ius communitatis series, v. 1), p. 3-9

[9] E.g. the detailed demands for the contents of prospectuses in the Directive 2003/71/EC on the prospectus to be published when securities are offered to the public or admitted to trading, as regards the implementing powers conferred on the Commission, OJ L 345, 31.12.2003

[10] Roth, Günter H.; Kindler, Peter The spirit of corporate law. Core principles of corporate law in continental Europe, p. 5

[11] The failed Fifth and Ninth Company Law Directives can be remodeled on the basis of these EU protective principles and presented as such to the Member States, which already built in the past the protective nature of EU company law as it stands today, making it politically more acceptable to move forward in the field of EU Company Law programme

## I.

Are the Treaties alone revealing on the interests protected in EU?

### a) Articles 49 and 50(2)(g) TFEU

Even if the Article 49 TFEU brings about the freedom of establishment as the cornerstone of the EU company law and Article 50(2)(g) TFEU provides a tool to EU legislator to legislate in this field, EU legislator still has to act in this field in accordance with the principle of conferral[1], the principle of subsidiarity[2] and the principle of proportionality[3]. This in turn means that the protected interests cannot be determined solely at the level of the EU law, but must be developed in accordance with national company laws within the scope of EU competences to the extent necessary to achieve the goal of EU legislation in the field of company law. Already on the basis of the freedom of establishment therefore the EU legislator is limited as to what interests he may find worthy protecting at the EU level.

Majority of the EU company law instruments were enacted on the legal basis of Article 50(2)(g) TFEU, under which the Council and European Parliament act by means of Directives for “...[c]oordination of safeguards which, for the protection of the interests of members and others, are required by Member States of companies or firms with a view to making such safeguards equivalent throughout the EU.” The wording of the this legal basis itself suggests that the safeguards necessary for protection of “members and others” already exist at the level of Member States and the EU role is to make those equivalent throughout the EU. What is obvious though from this legal provision is the fact that the EU never envisaged company law as solely protecting shareholders (“members”), but that the stakeholders are to be taken into account too (“others”).

b) Articles 114 and 352 TFEU as a possible tool to develop EU's own protective policy?

Besides Article 50(2)(g) TFEU, Articles 114 and 352 TFEU have also been used as a legal basis for EU acts in the field of company law. The EU competence under Article 114 TFEU is based on the approximation of Member States’ rules having as their objective the establishment and functioning of the internal market. Here the EU competence seems to be broader; the scope of Member States’ rules that EU legislation can approximate is broader and also the “approximation” seems a more vague term than “making safeguards equivalent”. Under these conditions the EU seems to determine more freely whose interest are to be protected through company law in that it decides to which standard it is going to approximate those Member States’ rules. On the other hand, the *Tobacco Advertising I*[4] case made it clear that legislating under this article requires that the national rules on the topic must differ substantially and that the general and complementary EU powers[5] cannot be used to regulate a matter falling



clearly within the ambit of more specific provision. Moreover, the second paragraph of Article 114 TFEU already excludes from the ambit of this article the rights and interests of the employees. So on the basis of this article, the EU legislation could only express its preferences on the protection of shareholders, creditors and third persons, to the exclusion of employees.

Another solution for expressing EU protective nature seems to be offered by Article 352 TFEU, under which the EU legal forms were created[6]. This article is intended to fill the competence gap where no specific provisions of the Treaty confer on the EU institutions the power to act and such powers are necessary to enable the EU to carry out its functions to attain one of the objectives of the Treaty[7]. Since Article 50(2)(g) TFEU represents such specific provision for enacting the protective measures for “members and others” in EU company law, this legal basis can hardly be useful for the EU to elaborate on its own protective EU company law provisions.

c) The power of the openness of Article 50(1) TFEU

On the contrary, what could be used for the EU to determine its priorities in protection mechanism of EU company law is Article 50(1) TFEU. As the CJEU already stated in *Diahsatsu*[8], Article 50(2)(g) TFEU only sets out a non-exhaustive list of measures to be taken in order to attain freedom of establishment within the meaning of Article 50(1) TFEU. Since Article 50(1) TFEU confers on the Council and European Parliament the power to adopt directives to attain freedom of establishment, the EU legislator (limited by the three principles mentioned at the beginning of the paragraph) can enact measures promoting legal certainty and building confidence if such measures lift hindrances to companies exercising their freedom of establishment. This article has already been used in the adoption of the Takeover Directive[9], in which the hindrance was seen in impediments “to the acquisition of shares of an existing company” (protecting (potential) shareholders) and in the adoption of the Shareholder Rights Directive[10], where the effective shareholder control was seen as a prerequisite to sound corporate governance and as helping to attain the freedom of establishment[11]. Therefore, if “hindrances” were already interpreted in such a broad way, these might also be represented by insufficient protection of members and third parties, leading to the race to the bottom by Member States, as recognized in 2002 Report on a modern regulatory framework for company law in Europe[12]. Under these conditions the EU might set the bar of sufficient protection as high as it deems necessary (principle of proportionality) to ensure the efficient exercise of companies’ freedom of establishment across the EU. The architecture of the protection envisaged until today, as it will be revealed by further research

of the substance of secondary EU legislation, and under the measures envisaged in the near future, will reveal the protective preferences that could be pursued through the means of this article for creation of proper sui generis EU protective policy in the field of EU law.

### **CJEU interpretation on the freedom of establishment as an influence**

As far as the CJEU decision making is in question, its contribution to the developments in the field of EU company law is undeniable. Not only did it interpret the secondary EU company law legislation and its provisions, but it also interpreted multitude of national legal measures on the basis of primary EU legislation (especially the freedom of establishment) in multiple fields of EU law, not solely in pure EU company law cases.

For the purpose of this research, the CJEU's decision-making can be divided in three groups: its interpretation of the Treaty-based freedom of establishment in company law cases (mainly when judging on Member State's refusal to allow the move of company's de facto head office), its interpretation of the freedom of establishment in tax law cases and last but not least, its interpretation of secondary legislation in the field of EU company law. While the first two are going to be debated in the scope of this paper, the last one is going to be omitted at this point, since it presupposes a thorough review of the content of secondary EU acts in the field of company law and is therefore too early for its analysis.

a) Does the CJEU take position on whose interests to protect with EU company law?

The most renowned and quoted EU company law cases date from the year 2000 on, coinciding with the second phase of the development of EU company law, in which more tendency toward Anglo-American model can be noticed. While generally new ideas and more hands-off approach developed at the level of EU legislature, the CJEU on the other hand made sure that the Member States are allowed to use their jurisdiction in EU company law only to the extent and in a way as compatible with the Treaty based freedom of establishment and with applicable company law directives.

*Centros*[13] showed that even when EU citizens use their freedom of establishment solely to choose the most lenient national law to establish a company, the Member State with less lenient company law provisions (in this case Denmark with its minimum capital requirements) cannot prohibit the establishment of such a company. CJEU explained that a Member State is allowed to restrict the freedom of establishment only if there is no other way of countering fraud or protecting creditors. CJEU here specifically stated that the creditor protection is compatible with the spirit of EU company law but that it has to be carried out in the least intrusive manner regarding the freedom of establishment. This statement combined with the

fact that the CJEU also reminded Member States in this judgment of their option of adopting EU harmonizing legislation in this area of company law shows EU general acceptance of the possibility of EU wide protective policy in this field, obviously including not only shareholders, but also creditor protection. By the inborn nature of the Internal Market, if these safeguards would be harmonized throughout the EU, the question of breach of freedom of establishment would not emerge at all. In this case, regarding the content of creditor protection under such non-harmonized field, CJEU saw as a less invasive measure “...[m]aking it possible in law for public creditors to obtain the necessary guarantees.” By this statement, the CJEU took a stand that national legislation can perform the information function, but that the precautions that are to be taken are the responsibility of the creditors, which must inform themselves about the fact that the company is regulated by another set of rules, different from the national ones. These facts seem to be indicating that the EU is inclined to the Anglo-American system (based on the information function) due to the lack of EU harmonization in this field but that it would prefer the Continental approach of mandatory provisions, for which Member States’ agreement would be needed.

*Überseering*[14] decision built upon *Centros* and brought more legal certainty for creditors and shareholders across the EU since it clearly determined the obligation of Member States to recognize the legal standing of companies lawfully formed in another Member State. This ensures the enforcement of creditors’ and shareholders’ rights and therefore their practical utility. Their protection under EU law would otherwise be left without substance. Moreover, *Inspire Art*[15] reminded Member States that no additional conditions can be required from company lawfully incorporated in another Member State in order for it to do business on the territory of this Member State. CJEU reiterated that by Member States not taking harmonizing actions in the field of protective measures, they have to accept that the companies doing business on their territory might have lower protective standards regulating companies’ conduct and that in this case shareholders and creditors alone need to inform themselves on the content of this foreign law. Again, this solution seems to correspond more to the Anglo-American model but again it seems that only as a consequence of the lack of common EU standards of protection and not an EU preference.

When we take a look at *Cartesio*[16] decision, such limits are clearly shown in the fact that a Member State is allowed to condition the application of its law to a company on the fact that the company has to retain its registered office on its territory. The Member State therefore does not need to take on the burden of applying its protective provisions on a company with no real connection to this State. The equilibrium of protective provisions in this Member State is therefore taken into account and once

again here the CJEU reiterates the fact that this issue needs further legislative measures at the EU level.

In *Sevic*[17], on the other hand, CJEU explained that company transformation operations constitute a “[p]articular method of exercise of the freedom of establishment...” and placed the protective role of company law in the Member State in which the new, restructured company is registered. Once again, due to the lack of harmonization in this field, the creditors, shareholders and also employees of the company under reorganization are all of a sudden facing a different set of protective rules. This can be either beneficial or detrimental to them, but the fact is that it does not contribute to legal certainty and it does have an impact on decision-making of “members and others”, which shows that also in this point of view, harmonization would have been beneficial. Such uncertainty attributes to reluctance to broaden one's business across the EU to the detriment of EU competitiveness on the world markets.

b) The outcome under CJEU wording in company law cases

What can be seen from this brief overview of CJEU case-law in the field of EU company law is that the protection envisaged for “members and others” in national company laws of different Member States stays untouched if it is in compliance with the freedom of establishment and with secondary EU legislative measures, in principle ensuring information flow sufficient enough for those “members and others” to know what their level of protection in a particular case is. The CJEU is consistently reminding the Member States that further harmonization measures in this field are advisable, which shows that the current orientation towards Anglo-American information model is not a preferred path under its view. The tendency to what the majority of the Member States is and was historically inclined, the Continental model of mandatory provisions, can be noticed. The only crucial thing missing in achieving this common protective policy is what further research on this topic will do: a comprehensive overview of the protective company law provisions as they stand today and as envisaged in the proposed future measures.

c) The correlation between the protective role of EU company law and CJEU decisions in taxation of companies and shareholders

The Court has dealt extensively with the interpretation of the freedom of establishment also in preliminary rulings on corporate taxation. Its decisions on corporate income tax also brought landmark judgments on the equal treatment of branches and subsidiaries, the cross-border compensation of losses and on the taxation of cross-border services. Achievement of the internal market was in the forefront; the decisions on the taxation of individual and corporate shareholders also contributed to it[18]. Although the Court is not expressively dealing in these cases with the question of

protection of “members and others” in company law, its decisions nonetheless bear consequences on the nature and/or level of protection already contained in provisions on EU company law, since it creates a guarantee to a certain extent of the same tax treatment for companies deciding to do business cross-borders as if they would be doing business in one Member State. Moreover, their freedom of secondary establishment is today a matter of settled case-law[19]. What needs to be taken a look at is how this influences “members and others” in these companies.

d) The Court acts proactively in the field of taxation

To understand the nature of the influence of these decisions on “members and others”, the structure of case law on corporate taxation and on taxation of corporate shareholders is revealing in the sense that it shows the efforts of the Court to ensure a level-playing field among purely internal and cross-border situations in the EU and by doing so ensuring even protection and opportunities for “members and others” across the EU.

As far as the case law on corporate taxation is concerned, the CJEU decisions on the basis of the freedom of establishment usually demand equal treatment of resident and non-resident secondary establishments[20] if they are in “comparable situation” from the side of home as well as host State[21]. For instance, what is demanded from the side of the EU law in the host Member State is that it must treat a branch by a non-resident company in the same way as a branch of domestic company. Moreover, the host Member State must also treat equally subsidiaries of non-resident parent companies and those of resident parent companies[22]. This first and foremost brings advantages to companies, which can choose the most appropriate form of business-making in other Member States. If differential tax treatment cannot influence decision-making in terms of where to start or continue the business of the company in question, the business can expand more rapidly. Not only that; since more burdensome tax provisions for cross-border business making are limited to exceptional cases by CJEU case law[23], this guarantees that cross-border business making will not be tax-wise disadvantageous for the company and it allows it to spread its business and growth faster and more efficiently than in case where such discrimination would be allowed. Not only can this bring higher return to the shareholders, which will incentivize them to support such cross-border growth, it can also reassure the creditors about their payment, since more financial assets are kept in the company that decides to spread cross-borders, than it would be the case if tax discrimination would be allowed. In this case, even higher employee protection can be envisaged in terms of more predictable and stable business-making, bringing possibly with it more stable employment. All in all, the business growth in the EU becomes more “user-friendly”, enabling the EU world-wide competitiveness to become reality.

The home State is also obliged to treat branches in other Member States equally as branches created on its territory, if all the possibilities to carry-over the losses in the host Member State have been exhausted[24]. In this field therefore timing differences can be detrimental to foreign established entities and due to this flexible CJEU decision-making, shareholders of these companies can be dissuaded from creating branches in other Member States, in turn influencing not only the Internal Market but more specifically investment decisions of the company in question. Here shareholders cannot use the benefit of limited liability throughout the EU efficiently and the creditors might be more reluctant to enter into the business with foreign branch exposed to the option of non-carrying-on of its losses.

Since subsidiaries differ from branches in that the former have its own legal personality, the CJEU case law on foreign subsidiaries differs from the one on branches. In case of subsidiaries, inequality between subsidiaries of a “home” company and subsidiaries of a “foreign” company is unjustified under the freedom of establishment[25]. Besides the cases where this restriction on the freedom of establishment pursues legitimate objective and is justified by imperative reasons in public interest[26], these decision again create incentives for shareholders to expand the company’s business and more willingness from the side of creditors to enter into the business with a subsidiary of a “foreign” company, due to higher legal certainty in the field of company taxation as to what the financial position of such subsidiary is. The common EU business market and market for corporate control as well as general cross-border operations is also incentivized through financial encouragement, attributing to the use of the protective provisions offered by the EU legislature for EU wide operations.

e) Shareholder protection strengthened: a specific CJEU agenda or simply a result of special shareholder role in public limited companies?

The CJEU case law also touched upon taxation of shareholders across the EU. Before analyzing the decisions, one may ask if the shareholders benefit from these CJEU judgments more than the “others” in company law, e.g. creditors and employees. But since neither of those two categories are taxed on their participation in a company (besides income tax of employees, not connected with corporate taxation), their exclusion from separate CJEU decision-making seems natural.

Regarding outbound dividends, the CJEU took under scrutiny the withholding tax systems as well as tax credit systems. If a Member State levies a withholding tax only on dividends paid to foreign parents and not to domestic parents, this constitutes a restriction on the freedom of establishment[27]. Subsidiaries are therefore taxed the same no matter where their parent company comes from, which places shareholders of such

subsidiaries on the same level and reinforces the incentives of their shareholders to keep and/or create business cross-borders. The decisions on tax credit systems follow the same line; when a subsidiary of foreign company is liable to tax on its dividends, then a subsidiary of home company needs to be treated the same (both taxed or both exempted)[28].

A Member State is also not allowed to provide for exemptions only for dividends received from a domestic company but not for the ones received from a foreign company[29]. Although this decision was taken on the basis of the free movement of capital[30] guaranteed under the Treaty, it protects the financial interests of shareholders in multi-national companies operating through subsidiaries in multiple Member States and therefore their incentives for cross-border business making. The benefit of limited liability of such shareholders is therefore better utilized. The same goes for the EU prohibition of determining a different tax rate on foreign and domestic inbound dividends[31].

Shareholders' incentive to invest in cross-border business and to maximize the benefit of their limited liability under company law is furthermore protected by the CJEU decisions on the tax treatment of acquisition, holding and alienation of shares. Shareholders of EU companies which are resident in other Member States may not be excluded from tax advantages linked to the acquisition of shares[32] and the mere ownership of foreign shares may not be taxed in a discriminatory manner[33]. The possibility of deducting the costs connected with participations in foreign companies must be given, if such possibility exists for participation in domestic companies[34], not to hinder the creation of subsidiaries in other Member States. Moreover, since capital gains are often taxable in the country of residence of the shareholder at the moment of the disposal of the shares, this can lead EU residents to transfer their residence before selling their participations to benefit from a more favorable tax regime. But this still does not allow Member States to tax the shareholders upon the move on unrealized gains and it is said to be contrary to the freedom of establishment[35]. This brings additional possibilities for the shareholders to pursue their financial goals and ameliorate their financial positions also by the means of their own actions. Does this fact show CJEU inclination towards the interests of shareholders? I think that this deduction would be a bit far-fetched; the CJEU intention is to keep the Internal Market intact and to this extent in this particular case, the shareholders' interests are incidentally further promoted.

f) And the winner under CJEU case law is...the Internal Market

As seen, CJEU decisions in this field facilitate the freedom of establishment of companies and the creation and development of the Internal Market. Although this first and foremost benefits the EU companies in

general, it also facilitates shareholders' benefit of limited liability and provides incentives for them to be involved in cross-border EU companies. This case law provides the cross-border businesses in EU with a higher level of legal certainty, which might encourage creditors to engage in business with companies across the EU to a greater extent than they would before the CJEU clarifications were made. The internal as well as external growth of businesses is therefore facilitated, bringing prospects for further developments in this direction.

Moreover, with its decisions on shareholder taxation, CJEU further protected incentives of EU shareholders to invest across the EU and to maximize the utility of the benefits granted under EU as well as national company laws.

In the end, CJEU case law in the field of taxation does not bring new protective measures for "members and others" in the EU law, but it does make the already existing protective measures effective and used to their full potential across the EU, which is an important feature of the building process of EU protective policy in EU law. Without such firm interpretative actions on the side of the Court the provisions of EU law could be rendered empty and their wording just an unexploited option on a paper.

### **Secondary EU legislation as the protective substance at the EU level**

With no systematic EU company law, in order to be able to ascertain its protective nature, its individual provisions need to be looked at, including their amendments and subsequent interpretations of CJEU case law.

Looking at the historical developments of the legislative process on this subject matter, one can notice that the first idea must have been one of harmonization, since all the envisaged EU company law directives carry numbering in their names: from the First to the Fourteenth Company Law Directive[36]. This phase of EU company law can be limited in time as from 1968[37] until around 2002, the time when the Commission created its 2002 Communication[38]. Out of the fourteen envisaged measures five were not successful in this period: the Thirteenth Company Law Directive on Takeover Bids, the Tenth Company Law Directive on Cross-Border Mergers, the Fourteenth Company Law Directive on Cross-Border Transfer of the Registered Office, the Fifth Company Law Directive on the structure of public limited liability companies and the Ninth Company Law Directive on group law. The latter three were indeed never enacted. On this basis, while searching for the nature of protective measures in the EU company law, the measures enacted (and as amended) should be first taken into account. Moreover, does the jump from the first phase of harmonization in the second, post-year 2002 phase of soft law-making, model rules, battle among the Anglo-American and Continental law and competition among



national company laws show also a switch in the EU company law policy of protection? And last but not least, in the last phase of EU company law, triggered by the world-wide financial crisis, brought in the forefront more national protectionism and at the same time more interventionism also from the side of the EU, especially in the financial sector, the fueling source for EU companies. Was this change brought about by heavier inclination towards the Continental law and its mandatory law on protection of stakeholders? Or was this just a reactionary move to contain the damage done by too liberal legislature in the field of company law outside the EU?

a) The protective nature as build by the existing secondary legislation

Although at first glance the First Company Law Directive[39] is more information oriented due to its disclosure demands, a closer look reveals that it contains multiple minimum protection standards in its mandatory provisions[40] that lean more towards the Continental system of protection. It is not oriented towards shareholders' protection but more towards third party protection; the data demanded with Article 2(1) of this Directive are more about the protection of creditors and potential shareholders, since the shareholders are in any case those naming the directors or are gathering all these information through the general meeting. Since the publication of all accounts was demanded for public and private limited liability companies in all Member States, this provides additional protection for company's creditors and potential shareholders. And last but not least, the demanded disclosure of information about directors under this article is aimed straight at protection of third parties. The protection of third parties is moreover seen in the first paragraph of Article 9, determining that ultra-vires transactions bind the company. ECJ itself made clear in *Rabobank*[41] that the mandatory provisions for protection of third parties are preferred in the scope of this Directive, while stating that Article 9(1) is *lex specialis* to Article 3(5), which determines the disclosure requirements. Under this Directive, the reasons for nullity of company are extremely limited and by this shareholders' limited liability and creditors' interests are protected. The nature of the First Council Directive changed slightly with the amending Directive 2003/58/EC, which brought about making company information more easily and rapidly accessible for interested parties through electronic means[42]. Emphasis under the amended Directive is more on its information function, but the majority of the Directive still contains mandatory rules on content of the disclosure, which is also visible in the fact that in case of discrepancy between the original and the voluntary registration in additional languages, third parties may still rely on the voluntary registration if they were not aware about the existence of the original version[43]. Furthermore, the interpretation of CJEU of Article 6 shows this continental law nature of protection of third parties even clearly.

In *Diahatsu*[44] it ruled that a Member State is not allowed to restrict the members or creditors of a company, the central works council or the company's works council the right to apply for imposition of the national penalty in the event of failure by a company to fulfill the obligation of disclosure of annual accounts. The enforcement of the provisions of the First Council Directive is therefore essential and the possibility of demanding such enforcement must be given to shareholders, creditors and employees, as interpreted by the CJEU.

The Second Council Directive[45], although focused only on public limited liability companies[46], seems also to be closer to exhaustive code than a minimum standard, since Member States can supplement its rules by stricter provisions only where express authorization to such extent has been given in the Directive. Moreover, as CJEU made clear in *Pafitis et al.*[47] that the Second Council Directive remains applicable to companies in financial difficulties even if subject to special collective liquidation or rejuvenation procedures even if the company's shareholders have been temporarily divested of their powers. Therefore the main focus of this Directive is not the information function but mandatory provisions for all public limited liability companies in the EU (Continental model). The main protective focus seems to be on the potential shareholders and creditors, to that extent the following provisions need to be mentioned: Article 5 on the number of members of a company, payment for shares in Article 9, valuation of non-cash consideration in Article 10, serious loss of capital in Article 17, maintenance of capital in Articles 15 to 24a, limited acquisition by a company of its own shares in Articles 19 and 22 and finally reduction in capital in Articles 30 to 39 of the Second Directive. The shareholders of a company seem to be limited in their actions and not in the forefront of the Directive's protection, since under Article 15(1) the amount of possible distribution to shareholders is limited.

The Third[48] and Sixth[49] Council Directive on the other hand, dealing respectively with national mergers and divisions, seem to be more information-oriented, as under Anglo-American legislative approach. It contains mandatory provisions in majority ensuring information rights to shareholders to be able to make an informed and timely decision on the merger/division at the general meeting[50]. Draft terms of these operations need to be published at least a month before the general meeting to decide on the operation[51] and two sets of reports on these draft reports need to be provided: one from the boards of all the companies involved and one from the side of experts appointed by national administrative or judicial authority. Nevertheless, both Directives contain mandatory rules of substance too; the majority needed for the decision taken at the general meeting, shareholders' rights of inspection and the conditions where it is allowed to omit the general

meeting. Moreover, protection of creditors whose claims ante-date, but have not fallen due by the publication of the draft terms demands such mandatory provisions[52]. Since division entails more risks for creditors than a merger, additional protection is provided for them in the form of joint and several liability of the recipient companies if the creditors have not obtained satisfaction[53]. For protection of ‘members and others’, Member States must also determine civil liability of members of the company’s organ for misconduct in a merger or division and for the misconduct of experts responsible for drawing the report. The nullity of mergers and divisions is moreover subject to strict conditions contained in both Directives[54]. The general picture on these two directives is therefore reinforced protection for current shareholders and current creditors in a partially Continental and partially Anglo-American legislative approach.

In turn, the Fourth[55], Seventh[56] and Eighth[57] Council Directives will be examined together, since they are highly interconnected and they follow the same protective pattern. The Eighth Council Directive has been enacted in order for the Fourth and the Seventh Council Directive not to have limited effect due to divergent qualifications of auditors across the Member States. This Directive follows the Continental approach and in Articles 3 to 19 determines the conditions for Member States’ approval of auditors and requires publicity of information on such auditors in Article 22, and by doing so protecting potential and actual shareholders and creditors. The Seventh Directive builds on the provisions of the Fourth Council Directive on annual accounts, following the same principles contained therein and determining the conditions in which for the sake of clarity and ‘true and fair view’ consolidated accounts must be drawn up[58], while retaining the protective nature of the Fourth Council Directive. The Fourth Council Directive itself is in fact a compromise between the prescriptive continental approach[59] and pragmatic and flexible Anglo-American approach of accounting principles being subject to a general requirement of true and fair view[60]. Even though the CJEU has stated multiple times that the principle of ‘true and fair view’ was a primary objective of this Directive[61], this seems to be only the umbrella principle which is to be carried out by means of prescriptive provisions, further defining its content. The prevalence of the Continental approach can be observed through Article 31(1) on valuation on the prudent basis, Article 2(6) which provides that this Directive contains only minimum standards and the detailed prescription of the content of the annual accounts throughout the Directive. Those provisions protect primarily potential shareholders and potential creditors, which through obligatory publication of required annual accounts gain the necessary information to take an informed decision. This transparency increases general trust in the EU market and EU companies, attracts foreign

investments and ensures a level playing field among EU Member States' companies, since their annual reports become comparable.

The Eleventh Council Directive[62] on disclosure by branches is protecting third parties through (limited) disclosure; it must disclose information with a reference to the register of the company of which the branch is part. By the additional disclosure on its power of representation, its name and the legal form and any winding up or insolvency proceedings the creditors in the state of the branch are additionally protected. The nature of this Directive is closer to Anglo-American approach, since it is focused strictly on its information function and it puts the responsibility of protection on the protected parties themselves. On the other hand, in the Twelfth Council Directive[63] on single-member private limited companies, creditors' and shareholders' protection is not in the forefront; its purpose is more to offer additional means of encouragement for the creation and development of small and medium-sized companies. The protective measures under this Directive are completely in the hands of Member States[64].

The Stock Exchange Law Directive[65] on the other hand is in majority containing minimum harmonization rules to the benefit of investors; current and potential shareholders. It is meant to build up investor confidence through determining a body of mandatory rules for all the Member States. While the rules on admission to listing are determining the minimum conditions for equivalent protection for investors at the EU level, the rules on listing particulars are determining only the information to be disclosed for investors[66]. In this spirit the The Transparency Directive[67] demands a half-yearly report from listed companies in the EU, which tends to be oriented more towards the Anglo-American spirit of regulation, since only essential details are demanded. This mixture of methods for investor protection is nicely seen in the General Prospectus Directive, which is defining the contents of the prospectus where a listings is sought and only vaguely defines the content of information for prospectus where no listing is sought. This specific approach can be observed throughout EU company law legislation: regulating with more Continental approach public limited companies while using the more flexible Anglo-American approach for private limited companies. The exception to this rule can maybe be seen in the provisions on major shareholdings in Transparency Directive[68], which determines the minimum standards for investor protection through the information function: the acquirer is under obligation to notify the company and the competent authorities on his acquisition and then the company needs to disclose this information to the public. But no matter what the legislative approach in each of these Directives is, the ones protected with their provisions are (potential) shareholders.

And last but not least, the Thirteenth Directive[69] acknowledges the fact that the possibility of hostile takeover has considerable advantages for shareholders compared to mergers[70], so it protects them by giving them exclusive competence on the final decision about the takeover. The Directive balances the Anglo-American and Continental legislative approach, by protecting minority shareholders in the target company through information function at one hand[71] and by determining mandatory bid and its transparency through detailed explanation and publication on the other hand[72]. In this respect, the balance in the Directive seems to lean more in the direction of mandatory rules, if looked at the importance of the provisions[73]. Whatever the regulatory principle used, the protective principles contained in this Directive seem to focus on three groups of actors in company law: the shareholders of the target company[74] and the employees of the target and the bidding company[75]. Moreover, the target company itself is protected by these provisions so that its business operation may be affected to the extent absolutely necessary. Creditors' protection here is hidden in this latter provision, since the growth and continuance of business is of prime importance in these reorganization operations.

b) The suggestions of secondary EU legislature

Under EU company law all limited liability companies are regulated mainly for third party relationships, while protection of shareholders and the internal structure are harmonized only for public limited liability companies. The application of all the harmonization measures seems to be roughly split in two groups: measures to protect third parties (mostly creditors)[76] and measures for shareholder protection as their main aim[77]. It is nonetheless true also shareholder protection can be found also in acts which primarily deal with creditor protection; for example in the Second Council Directive with rules on mandatory competence of the general meeting for capital measures or its pre-emption right of shareholders. This creates an overall impression that the creditors or third parties in general enjoy the same level of protection with respect to all limited companies, through EU creation of confidence in cross-border activities, while shareholder protection is the center of EU law rules applying mostly to public limited companies. This outcome is achieved through EU use of different regulatory principles, all yielding the same result in the end. Although EU Treaties oblige national legislators to give the information rules priority over substantive mandatory rules[78], the majority of EU company law legislation still entails the integration model with minimum harmonization with addition of protection of minorities model (again through mandatory rules). Free market hypothesis seems to be of lesser importance in the EU than stakeholder protection through mandatory rules.

- [1] Article 4 of the Treaty on European Union, OJEC, C 83, 30 March 2010
- [2] Article 5 of the Treaty on European Union, OJEC, C 83, 30 March 2010
- [3] Article 5 of the Treaty on European Union, OJEC, C 83, 30 March 2010
- [4] Tobacco Advertising I, Case C-376/98, 5 October 2000
- [5] Such as the ones entailed in Articles 114, 115 and 352 TFEU
- [6] EEIG under Council Regulation (EEC) No 2137/85 of 25 July 1985 on the European Economic Interest Grouping (EEIG), OJ L 199, 31.7.1985; SE under Council Regulation (EC) No 2157/2001 of 8 October 2001 on the Statute for a European company and supplementing Council Directive 2001/86/EC of 8 October 2001 supplementing the Statute for a European company with regard to the involvement of employees, OJ L 294, 10.11.2001; SCE under Council Regulation (EC) No 1435/2003 of 22 July 2003 on the Statute for a European Cooperative Society (SCE) and accompanying Council Directive 2003/72/EC of 22 July 2003 supplementing the Statute for a European Cooperative Society with regard to the involvement of employees
- [7] Vossestein, G. J. (2010) Modernization of European company law and corporate governance. Some considerations on its legal limits. Austin, Alphen aan den Rijn, Frederick, MD: Wolters Kluwer Law & Business; Kluwer Law International; Sold and distributed in North, Central and South America by Aspen Publishers (European company law series, v. 6), chapter 4
- [8] Diahatsu, Case C-418/11, 26 September 2013
- [9] Directive 2004/25/EC of the European Parliament and of the Council of 21 April 2004 on takeover bids, OJ L 142/12
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- [73] Mandatory bid, the determination of minimum compensation under the mandatory bid, the obligatory period for acceptance, and the takeover report determined through mandatory rules
- [74] Under Art.9(2) – Art.9(4) of the Takeover Directive they gain the exclusive competence to enact defensive measures during the takeover procedure
- [75] Art.8 of the Takeover Directive
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- [80] Accompanied with anti-abuse provisions to ensure the EU traditional stakeholder protection

## Conclusion

Conherency of the EU law system as a whole could be achieved to a larger extent? Some reflections and propositions.

The majority of the business in the EU is carried out through private limited companies, and yet the most detailed mandatory EU company law rules relate to public limited liability companies. This tendency can be seen as a result of the aim of EU legislator to make EU companies more competitive in the world market so it focused its harmonizing legislative efforts on existing big EU companies. The incoherency inherent in this reasoning is the following: since in EU competition law policy the EU clearly shows its preference in maintaining fair competition on the internal market and preserving its variety, it does not make much sense legislatively coordinating the provisions on the already large companies in the field of company law and facilitating their cross-border operations, to the detriment of highly non-harmonized field of EU law on private limited companies and other company forms covering small and medium-size companies, that could be the source of comparative advantage for the EU economy.

Therefore next to the already provided equal creditor protection for all limited liability companies, providing additional incentives to small and medium enterprises to grow in size through cross-border operations would be advisable, possibly in the form of more lenient tax treatment, more lenient competition law provisions, and more lenient company law provisions with unified protective policy. Growth should be stimulated as an EU objective and even though this is stated as aim of multiple EU law instruments, a private limited liability company wishing to grow and develop its business as public limited company, it faces a switch in the regulatory principles and the body of applicable law. It goes from information model of regulation to a more stringent, Continental integration model, it faces additional rules on shareholder protection, more stringent accounting rules and a whole new body of EU case law in the field of taxation and Treaty freedoms as well as highly harmonized body of capital markets law.

Competitiveness today is not in size of production and low prices, it is more about the innovation and the price-quality ration. With that in mind, besides encouraging EU businesses to gain in size, innovation and quality should be rewarded through EU legislation, whether by using information and integration model, providing high stakeholder protection as a typical trait of Continental heritage. For all types of companies focus should be on additional information dissemination to further strengthen the cross-border confidence of investors, some transitional provisions for companies changing their form into public limited liability company should be provided, also provisions for encouraging quality innovations should be envisaged. For these provisions to be able to boost competitiveness of the EU economy as a

whole, the Member States should voluntarily adopt cooperative attitude in relation one to another rather than competing internally; they should strive for joint competitiveness with their inherent comparative advantages against the rest of the world, using their historic legacies and their combined strength to develop new, modern and flexible company law legislation.

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## **A SOCIOLOGICAL ANALYSIS OF WOMEN CRIMINALS IN TURKEY: A CASE STUDY**

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### **Abstract**

This study, through a questionnaire and in-depth interviews, aims to make a sociological analysis of female criminals in the Denizli Open Prison, including their demographic characteristics, family structures, committed crimes and the factors that led to their criminal acts. The questionnaire, composed of 57 questions, has been evaluated in the SPSS program, and in-depth interviews were done with 6 female criminals for a detailed analysis of why the female criminals committed crimes and the factors that led to their behavior. In the study, the concept of crime is accepted as a social fact. The educational backgrounds, ages, families and sub- cultures of the women have been examined and the dynamics of female criminality in Turkey have been cross-examined within the limits of sampling. In the course of the study, it was found that concepts of honor, domestic violence and patriarchal structure have been key concepts of female criminality, and female criminality in Turkey can be understood in terms of these phenomena.

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**Keywords:** Crime, Female criminals, delinquency, Turkey

### **Introduction**

One of the most serious problems in today's world is crime, and this is also true in Turkey. Turkey has its own particular conditions with criminality as a cultural, social, and economic reality. But together with the increasing complexity of human society and the effects of industrialization and globalization, crime in its different forms has become one of the major problems of contemporary societies. The rate of organized crime, international terror, female and juvenile delinquency and other forms of crime increase parallel to industrialization, globalization, and urbanization and immigration. In any daily newspaper, published in anywhere in the world or in Turkey, one can find a significant proportion of space devoted to reports of murder, theft, and other crimes. Alongside

this dramatic increase of the global crime rate, crime has also become a major socio-economic problem in Turkey in recent years.

Recently in Turkey, inequality of income distribution, unemployment and asymmetric power relations in the social structure are on the rise due to the transformations in the broader world. In connection with this reality, some groups become particularly disadvantaged, such as the poor or immigrants. These groups tend to commit crimes much more often than other people. Moreover, women and children become much more at risk because they are more sensitive to external forces as a part of the disadvantaged groups within society, as mentioned above. For this reason, the aim of this study is to examine female delinquency. In this sense, the main problem of this study is the nature of the female criminals in Turkey. The main argument is that there is a direct relation between criminal behavior and social factors such as education, income, the standard of life, and family structure, and therefore, crime can be learned and imitated. Women who are uneducated, unemployed or lacking social and physical resources are more likely to commit crimes. to understand the dimensions of female criminality in Turkey,

### **Description of Crime and Female Criminality**

Crime has been the concern of people since they have been human beings. Ancient Greek philosophers were interested in the reasons of crime: For Plato the resources of the crime are passions, seeking for pleasure and ignorance. On the other hand, despite the fact that he knew that the criminals have become criminals due to environmental factors and also to their tendency, Aristotle had been willing to give hard penalties as they are the enemies of society (Demirbaş, 2001:52). Recent socio-cultural sciences define the acts of human beings named as crime as a deviation from the social norms. A criminal is the person who is not able to have a balance between the social norms and individualistic forces. In addition to this, a separation should be made between the act of crime and general deviated activity. Though it is linked to the deviated character, the behavior mentioned as crime is the result of the historical forces and appears in law” (Dönmezer, 1994: 47) The study of crime has also been caught up in the general trend of re- examining gender in correlation with the transformation of women’s roles in daily life. In the late 20<sup>th</sup> century, many societies have been characterized by perceived shifts in women’s roles (Harrison, 1983: 86). On the other hand, the female share of criminality has risen in the later 20<sup>th</sup> century, but self-report studies, victim surveys, observations and other studies broadly tend to confirm the image of crime as a largely male activity.

Female crime that refers to the crimes committed by women. The main aim of this classification is to explore the causes of female crime and make positive prevention. The works on female criminality can be traced back to the late 18<sup>th</sup> century. Lombroso's book, *Female Offender*, was published in 1895. The book argues that women, as required by their nature, are in fact the defenders of the social order and that the mentioned harmonization forces them to adopt and to be overwhelmed by the social order. It is also argued that women participate in criminal behavior due to some physical incompatibilities. Another argument of Pollak is that, because their lives are limited within the borders of the house, women commit crimes that are difficult to notice and punish, especially prostitution, exhibitionism and abortion (Mannheim, 1965: 701-702).

Another important book published about female criminality after the works of Lombroso is *Sex and Society*, written by W.I. Thomas in 1907. He suggested that any differences in intellectual functioning between the sexes were not a result of brain size, or biological differentials as Lombroso affirmed, but were socially influenced. Thomas divided the sexes into katabolic and anabolic dimensions. For him, men were katabolic, or more rapid consumers of energy, whereas women were anabolic, representing the more constructive part of the metabolic process because they stored energy, as the plants did. All the properties of anabolism and katabolism were indicative of social behavioral differences between the sexes. However, in *The Unadjusted Girl*, published in 1923, Thomas established a break from Lombroso and his own first book. He explored the influences of the social environment on deviant behavior and advanced four basic desires for every human: the desires for security, recognition, new experience and response. Criminality was the desire for new experience. A woman entered prostitution to satisfy a desire for excitement and response (Flowers, 1987: 95).

Works that tried to explain the relationship between women and crime via the socialization and nature of women appeared throughout the 1950s. At the core of these studies lies the fragile, soft and vulnerable nature of women and their limited lives within the borders of the house. During the 1970s and 1980s, the literature on female criminality suffered some changes with an emphasis on dismissing long-standing explanations, exploring economic explanations and studying the criminality of female in relation to the women's movement. The most well-known works of the 1970s are *Sisters in Crime* by F. Adler and *The Contemporary Woman and Crime* by R.J. Simon. Both books focus on the correlation between the social and economic role of women in the society and female criminality.

Freda Adler was the first writer to claim that when the social status of women provides parity with men, their crime patterns and frequency will more seem like those of their male counterparts. She focused on the association between the startling rise in female criminality and the women's liberation movement and new feminism. She described new feminism as a "consciousness-raising" movement and she predicted that, as women drew closer to men socially, they would become more equal on all counts in criminality as well (Flowers, 1987: 101).

Rita Simon made a contribution to studies of female criminality with a detailed summary of the contemporary women's movement. Simon introduced the potential relation of demographic and labor force variables to female criminality and the impact the women's movement had in altering the treatment of women within the criminal justice system. For Simon, due to the increase of women's participation in labor force, their opportunity to commit certain types of crime also increased. This means that women have no greater store of morality than do men. Both men and women have the same propensities to commit crimes, but opportunities for women had been more limited. When their opportunities to commit crime increased, they committed crimes more often (Simon, 1975: 48). It is believed that the increase in the percentage of burglary and ordinary crimes among female criminality in the 1960s and 1970s supports the theories of Simon and Adler.

Another significant contribution to studies of female criminality was made by Sheldon and Eleanor Glueck, who examined female criminality within the perspective of environmental and biological criminality. The Gluecks' most important contribution to the field of female criminality is *Five Hundred Delinquent Women*, which was published in 1934. It is a detailed study that criminologists made of 500 Massachusetts delinquent girls, from their childhood through parole. The Gluecks compared their backgrounds, social histories and physical and psychological traits. Their main objective was to determine what factors led to female deviance. They found that female criminality resulted in large part from biological and economic factors and an extremely high percentage of delinquent girls came from abnormally large families, were mentally defective and had been arrested mainly for sexual behavior. They also found that criminality was likely to be intergenerational (Glueck and Glueck, 1974: 20-23).

Another scholar who believes that sociological factors are determinant when considering female criminality is Pollak. *The Criminality of Women* was published by Pollak to define female criminality during

postwar years. Pollak combined data from a comprehensive survey of American, British, French and German literature.

Utilizing the international statistics, Pollak tries to examine whether the criminality rate among women will rise as the social and economic equality between sexes improves, and tries to make an international comparison. However, there are problems with his study. For example, Pollak assumed that the socio- cultural and socioeconomic structure of each country included in the sample was the same. As a result, he concluded that the rise in the rate of the social participation of women resulted in a rise in crimes against property (İçli, 2004: 367).

Pollak was influenced by Lombroso and Freud to conclude that female criminality is primarily sexually motivated. Pollak's second assumption is that the crime rate among women is probably equal to that of men, but that female criminality has a masked or hidden character. For, Pollak, females' crimes are inadequately reflected in the statistics. Pollak agreed with Lombroso that women are particularly addicted to crimes that are easily concealed and rarely reported. He gave an example of exhibition as a crime that frequently occurs among females but is not prosecuted. Pollak claimed that the traditional roles assigned to women by culture are ideal for hiding crimes such as sexual offenses against children, and that women are more deceitful than men in their commission of crimes (Flowers, 1989). Hagan and colleagues formed the influential power-control theory of delinquency. Power-control theory stipulates that greater equality in the workplace in authority relations for husbands and wives translates into more egalitarian (in contrast with patriarchal) relations in families. More egalitarian family relations, in turn, result in more similar socialization of sons and daughters, similar preferences for risk, and a smaller gender differential in delinquency (Hagan, 1987: 788-80). This is a common situation for both egalitarian and single-parent families. The result of this situation is that the liberty of girls rose among the lower classes while father-dominant families are extremely limited, and thus the rate of participation in crime is quite low for them (İçli, 2004: 368). Apart from the approaches explaining female criminality through the liberation of women, biological factors and power-control theories, there are theoreticians that try to explain female criminality via the demographic structure of the society and the share of males and females in the population. The works of South and Messner, and Guttentag and Secord, are considered among the studies conducted within this framework.

## **Methodology**

This study is composed of qualitative and quantitative parts. The female prisoners in Turkey constitute the population of the study, and the



female prisoners in the Denizli Open Prison constitute the sample of the study. Sixty of the 87 incarcerated women agreed to answer the questionnaire. First, the 87 women were grouped into fours, and then they were asked to commit to join the study, group by group, in a room for leisure. Each was asked about the study, but only 60 agreed to participate, and only after they were told that no names would be collected during the study. The questionnaire consists of 57 questions; of these, 7 are open-ended and 15 questions are designed to examine the demographic features of the respondents. Other questions are related to the personal history of the women offenders and the social conditions and quality of life of their families, the effects of urban transformation on their lives, and their crimes and why they committed those crimes. The age, education level, income and history of women are the main independent variables of the present study.

### **Findings**

The findings in this part of the study indicate that female criminality is gradually becoming more of a social problem. The number of female criminals between 1990 and 2000 increased by 2.8 fold. In line with the findings of the academic studies conducted in Turkey and the general population censuses, a preliminary profile regarding female convicts can be drawn. The majority of the female convicts are primary school graduates or only literate, have been convicted for murder or simple theft, have been subjected to violence from their families or husbands and are predominantly young adults or middle-aged. The findings of this study also support this profile.

Demographic data about the participants of the study are as follows: Female criminals in Denizli Open Prison are generally middle-aged, married, housewives who graduated from primary school. Their families generally have rural origins. The majority of them came from large families. Another main aim of the study was to discuss the reasons for the crimes of female convicts in Turkey, with the help of the sample from Denizli Open Prison. Therefore, three questions included in the “aims” section of the study are related to each other. Why did they commit crimes? Which factors pushed individuals to criminal behavior? What kind of crimes do female criminals generally commit? Answers to all these questions constitute an original side of the study and represent the unique structure of female criminality in Turkey.

According to the findings of the study, one of the major reasons for the crimes committed by female convicts is domestic violence. Domestic violence is a fact which is learned within the family by modeling. In the in-depth interviews, it was seen that female criminals who killed their

husbands had been beaten by their husbands and other members of their families, such as mother-in-law, their own parents or older brothers. Interestingly, these people had been also beaten before by different people in their lives. Therefore, domestic violence can be accepted as a key determinant for the existing of violence. Females who have been abused physically and verbally for long years can go mad. For this reason, they can murder their husbands as a result of unplanned and sudden insanity. In the cases of A1, A2 and A3, all the women had been beaten by men for many years. They had been victims of domestic violence.

### Demographics of respondents

Variable			Variable	
<b>Age</b>			<b>Total income of parents (in new</b>	
18-24			less than 300 thousand	
25-34			between 300 - 500	
35-44			between 500 thousand -	
45 and older			1 million and above	
<b>Birth Place</b>			5	
City	1	5.0	<b>What was your mother's</b>	
Township			laborer	
Village			agricultural laborer	
<b>Marital Status</b>			official	
Single			own business	
Married			housewife	
Divorced			unemployed	
Widowed			retired	
<b>Do you have any</b>			marginal	
Yes			<b>What is your</b>	
No			laborer	
			agricultural laborer	
<b>Do you have sisters or</b>			official	
No			own business	
1-2			housewife	
2-4			unemployed	
5-6			student	
5 and above			marginal	
<b>How many</b>			<b>What was your</b>	
One - Three			laborer	
Four - Seven			agricultural laborer	
Eight and above			official	

<b>What is your</b>			own business	
not literate			unemployed	
literate, not graduated			retired	
graduated from			marginal	
graduated from			<b>What is your</b>	
graduated from high			laborer	
graduated from			agricultural laborer	
<b>Educational Level of</b>			official	
not literate			own business	
literate, not graduated			retired	
graduated from			other	
graduated from				
graduated from				
<b>Educational Level of</b>				
not literate				
literate, not graduated				
graduated from				
graduated from				
graduated from high				
graduated from				

The in-depth interviews also showed that the women who have been subjected to domestic violence, either from their husbands or other members of the family, may commit crimes to protect themselves or because of rage, either while they were subject to violence or as a result of being subjected to violence for a long time. The violence exerted on women has a multi-dimensional character. Sometimes, verbal assaults from their mother-in-laws or other members of the family may leave serious scars on the women. Incidences of incest, either involving the woman or her children, are an extreme kind of violence and result in crimes like murder to protect herself and her children. In case of A4, she wanted to protect her sons from their father, who threatened to kill them.

The second most important reason for the crimes committed by women is honor. This is a major point that differentiates female criminality in Turkey from that of the West and the US. While the increasing female criminality in Europe and in the US is explained by the liberalization of women, in Turkey social pressure is a major factor in female criminality. Every region and thus every sub-culture has its own norms regarding women. In line with these norms, women who consider their honor to be damaged may commit crimes in order to clear themselves of blame. One of the fundamental reasons for this situation is that the concept of honor in Turkey is primarily related to the female body.

Women consider their own honor harmed even when their husbands cheat on them.

Honor is also learned within the family and sub-culture, like domestic violence. The case of A5 is an extreme example of honor. Although it was A5's daughter who was forced into incest and sexual intercourse by her father, again it was the daughter whom members of the family tried to kill. Also, A5 was excluded from the family because she killed her husband. In this process, her ex-husband had never been accused of his own crimes.

Throughout the study, it was seen that social control has a significant influence on female criminality. The strictness of this control is directly related to the women's feeling of pressure. It was seen case of A1, who was considered responsible for not having a child, being directly blamed and made subject to various types of violence. Learning is also important for the gaining of social norms. In this sense, it can be claimed that social control is also learned, like honor and domestic violence. The weakness of social control can be a determining factor in female criminality, but when it is too much, it can also be a factor pushing women towards crime.

Other factors that are considered significant in female criminality throughout the study are education and learning. These factors are not influential by themselves, but are determining factors of female criminality when they are joined by other factors. In the case of A2, who was convicted for terror crime, the low level of education in the family left the family members and particularly children open to dangers from outside. A2 had not known anything about terror or state before she was kidnapped by the terror organization. She had been educated about terror for long years, and then she became a terrorist. However, education cannot be a single factor. As in the example of A6, who used to work as a pharmacist and was convicted for document fraud, the increase in education level can be a facilitating factor for engagement in white-collar crime. The rate of white collar crime is very low among women with low education levels.

Learning was also seen to be a significant factor in female criminality. The perceptions of female convicts who were raised in social environments where certain types of crime were considered normal under certain circumstances were found to share similar views of crime themselves. For example, a woman raised in a village where murder for honor is considered normal believed that murder is a crime that can be committed when necessary. Or, as found in the in-depth interview with the Roma woman, when crime is committed in the close environment or by a family member, it sets a model for the children and facilitates their

committing crime when they get older. The fact that 36.7 percent of the participants had a relative in their family who was convicted for a crime strengthens this argument. However, as indicated before, it is difficult to explain crime with a single reason. A similar situation holds also for female criminality.

### **Conclusion:**

The study included different reasons or factors that can be related to female criminality. However, all these factors can only set the foreground for crime within their own contexts and when they are joined by other factors. It is impossible to make statements such as “a low education level is a reason for female criminality,” or to make generalizations such as “women commit crime only after they learn about it.” The study discusses the reasons and factors that may have a determining influence upon female criminality. However, a better understanding of female criminality and more detailed analyses of the issue depends on the increase of studies to be conducted in the field. Increase in the number of such studies will also provide benefits for designing policies aimed to prevent female criminality and some arrangements in this regard. The study aimed to make a contribution, although limited, to the literature on female criminality in Turkey, and to understand the unique conditions of female criminality in Turkey. Understanding female criminality requires determining these unique conditions.

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# WHO IS THE “MINER”? A BRIEF EXEGESIS OF JOB 28:4

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## **Abstract**

There is a long tradition of researching the book of Job and the meaning behind the imagery presented. Job 28:4, is not without its own imagery especially the image of the “miner” and “foreigner.” Unpacking the meaning behind the “miner” and its use in the Old Testament, is quite interesting. Addressing the image of the “miner” within the context of the book of Job and other books in the Old Testament shows the complex meaning of the search for wisdom. The analysis of the text provides evidence for the meaning of the image of the “miner” as well as the overall search for wisdom. What is verse 4 telling its readers? How does it fit into the larger work of the book of Job? This work will address these questions and show that the 4<sup>th</sup> verse in the book of Job does indeed fit into wisdom literature.

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**Keywords:** Job 28:4, Exegesis, Old Testament, Miner, Foreigner

## **Introduction**

The book of Job, according to Gregory W. Parson, “is universally admired as a literary masterpiece in world literature.”<sup>26</sup> The book of Job examines one of the oldest questions that humanity has struggled with, why do good people or righteous people suffer? Job addresses this question as well as what God<sup>27</sup> has to say about what it means to be wise and what

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<sup>26</sup> Gregory W. Parsons, “The structure and Purpose of the Book of Job,” *Bibliotheca Sacra* 138, 550 (Apr. 1981): 139.

<sup>27</sup> Out of respect for the Deity and the persons of the Trinity (when referred to), I capitalize all references to God and members of the Trinity including pronouns. These are not typos. When they are not capitalized, it is only because I quote directly from texts and leave the words as they have been printed. Additionally, for a number of reasons, but mainly readability and convenience, I use the masculine pronouns to refer to God. This is not done to offend any readers who may prefer gender-neutral or gender inclusive language. I will also be using BCE to denote Before Common Era. Also all biblical citations, unless otherwise noted, come from the New American Bible. Other translations of the Bible,

wisdom is and means. This work will be an exegetical paper on the book of Job, especially chapter 28, and will address several issues in reference to Job. One of the issues that it will address is a closer examination of chapter 28 and the image of mining and the meaning behind it. This work will first examine the macro structure of the book of Job before moving into the microstructure of chapter 28 and its subsequent passages. It will then explain what is going on in the micro level passages before addressing issues, which relate to wisdom and other topics.

## I.

The book of Job belongs to the wisdom literature of Israel as well as to the third division of the Hebrew Bible.<sup>28</sup> The book takes its name from the main character of the poem/story, Job. The story revolves around the question of why righteous people suffer and how their suffering can be reconciled with the goodness of God. To answer this question, Job addresses and speaks to three of his friends, who all give him similar answers.<sup>29</sup> They all tell him that he is being punished, or that he is incurring God's wrath, because he has sinned in some way against God.

Job steadfastly maintains his innocence to his three friends and almost accuses God of being unjust until he regains his trust in God's goodness and belief that he will be vindicated. It is then that Elihu gives Job a divine message that states that suffering is a way to show or to prove that one is righteous just like a father does to his children when he chastises them.<sup>30</sup> God makes His presence known and speaks to Job, humbling him and making him realize that he is to hate himself before God and His presence.<sup>31</sup> This is what Job needs to do before God will restore his fortunes.<sup>32</sup>

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which will be used in this work, will be The New Jerusalem Bible, The New King James Bible, as well as The New Jewish Publication Society translation of the Tanakh. When they are used, the following abbreviations will be used: NJB – New Jerusalem Bible, NKJB – New King James Bible, NJPS – New Jewish Publication Society.

<sup>28</sup> Christl Maier and Silvia Schroer, "Job: Questioning the book of the righteous Sufferer," in *Feminist Biblical Interpretation: A Compendium of Critical Commentary on the Books of the Bible and Related Literature*, eds. Luise Schottroff and Marie-Theres Wacker (Grand Rapids: Wm. B. Eerdmans Publishing Co., 2012), 221-222. As well as:

R. A. F. MacKenzie, S.J., "Job," in *The Jerome Biblical Commentary*, eds. Raymond E. Brown, S.S., Joseph A. Fitzmyer, S.J., and Roland E. Murphy, O. Carm. (Edgewood Cliffs: Prentice-Hall Inc., 1968), 511.

<sup>29</sup> Please see Job chapters 3-31.

<sup>30</sup> Please see Job chapters 32-37.

<sup>31</sup> Please see Job 42: 1-6.

<sup>32</sup> See also Job 42: 7-17.

According to the Ungers Bible Dictionary and the Oxford companion to the Bible<sup>33</sup>, the book of Job can be broken into three parts, each with distinct sections. It first begins with the testing of Job in the prologue before the first part of the book actually takes place. Part one is distinguished by the false accusations of Job by his friends. This can then be broken into three more sections, one for each of the friends that accuse Job. The first cycle of speeches,<sup>34</sup> all of Job's speeches, are answered by each one of the three friends.

The second cycle of speeches<sup>35</sup> is again seen with a back and forth from Job and his three friends. The third cycle of speeches<sup>36</sup> find Eliphaz and Bildad speaking until Job answers them. This leads into the second part of the book, which are the speeches of Elihu.<sup>37</sup> These can again be broken down into four speeches, which deal with why affliction takes place, God being vindicated, why it is best to be pious, and why God is great and Job is ignorant. This then leads into the third part of the text, which are God's speeches. There are two speeches; the first declares God's power through creation as well as Job's conversion and the second shows how humans are weak, God's power, and Job showing his humility. This then leads into the epilogue where Job's fortunes are restored.<sup>38</sup>

The book of Job can thus be analyzed more easily as a narrative framework, which surrounds a core of poetry.<sup>39</sup> It is a complex literary work that has been mixed with several literary genres.<sup>40</sup> The book can be dated to somewhere between the seventh and second centuries and more likely than not, it dates from the Solomonic era. This is because there is a lot of evidence in the work that show it to be similar to parts of proverbs as well as to wisdom literature.<sup>41</sup> Susan Schreiner points out that the shape of Job took place gradually, moving into four phases. The first phase was from the pre-Israelite era, second – a pre-exilic version dating from the 8<sup>th</sup> to 9<sup>th</sup> centuries

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<sup>33</sup> David J. A. Clines, "The book of Job," in *The Oxford Companion to the Bible*, eds. Bruce M. Metzger and Michael D. Coogan (New York: Oxford University Press, 1993), 368-369. And also:

Merrill F. Unger, "Book of Job," in *Unger's Bible Dictionary* (Chicago: Moody Press, 1977), 593-594.

<sup>34</sup> Ibid., see chapters' 3-14 according to the Unger's Bible Dictionary or 3-11 according to the Oxford Companion to the Bible. Each depends on which version or translation of the Bible one is using but are all similar in structure.

<sup>35</sup> Ibid., see chapters 15-21.

<sup>36</sup> Ibid., see chapters 22-31.

<sup>37</sup> Ibid., see chapters 32-37.

<sup>38</sup> Unger, *Unger's Bible Dictionary*, 594.

<sup>39</sup> Clines, "The book of Job," 368.

<sup>40</sup> Parsons, "The structure and Purpose of the Book of Job," 139.

<sup>41</sup> Clines, "The book of Job," 368-370 & Unger, *Unger's Bible Dictionary*, 594.



BCE, third – an exilic version from the 9<sup>th</sup> century BCE where deuteronomistic phraseology was added, and fourth – a post-exilic version in which the figure of Satan and elements of wisdom teaching were incorporated.<sup>42</sup> This essay will delve deeper into the area of Job, which is closer to the wisdom literature as well as proverbs; this of course will be an exegesis of Job 28.

Job 28 is a more controversial part of the book of Job, not for its message but for what it is doing in the book itself. It seems to be out of place, or as Parson points out, “Chapter 28, a wisdom hymn, may be a kind of interlude which mars the transition between two major parts of the poetic body - - the q previous dialogue between Job and his friends, and the forthcoming long discourses by Job (chaps. 29-31), Elihu (chaps. 32-37), and God (chaps. 38-41) which are almost monologues.”<sup>43</sup> Driver and Gray also conclude that it is a poem, independent of the book of Job about wisdom, which uses more divine names than the dialogue and forms no part of the original work.<sup>44</sup>

Some scholars have referred to the passage as an interlude in the book of Job.<sup>45</sup> It is hard to place the chapter in a part of the book for it to make sense as a whole. It does not make references to who is actually speaking or to the speeches that have preceded it. It also lacks any real connections to any of the issues raised by the previous speeches.<sup>46</sup> It can therefore be said that chapter 28 of Job can be seen as an interlude to the entire book of Job focusing on a background theme, which is divine wisdom and how it is inaccessible to humanity.<sup>47</sup> MacKenzie makes the point that the text could have existed on its own at one point in history, but that it may have been written by the same author of Job since there are some similarities in language that is used in the book and there are some who believe that it may have been the work of a single author but completed over a lifetime.<sup>48</sup> Despite this, one can see that the text is rather disordered and it is unknown as to what the original order may have been. One thing that can be deduced is that there are four main ideas that can be seen as being developed in the text.

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<sup>42</sup> Susan E. Schreiner, *Where Shall Wisdom be Found? Calvin's Exegesis of Job from Medieval to Modern Perspectives* (Chicago: University of Chicago Press, 1994), 157.

<sup>43</sup> Parsons, “The structure and Purpose of the Book of Job,” 141.

<sup>44</sup> Samuel Roller Driver and George Buchanan Gray, *The International Critical Commentary: A critical and Exegetical Commentary on the Book of Job together with a new translation*, vol. 1 (New York: Charles Scribner's Sons, 1921), xxxviii.

<sup>45</sup> MacKenzie, S.J., “Job,” 526.

<sup>46</sup> Ibid.

<sup>47</sup> Ibid.

<sup>48</sup> Ibid. and Alison Lo, *Job 28 as Rhetoric: An Analysis of Job 28 in the context of Job 22-31* (Leiden: Brill, 2003), 26-28.

The four main ideas are that 1.) Man explores the earth, like he does for silver or order to find wisdom and cannot. 2.) Creatures cannot help man find wisdom. 3.) Man cannot buy wisdom with earthly treasures and 4.) God is the only one who can have wisdom. This can further be constructed in an outline of the text or in the manner in which I will show.<sup>49</sup> Some of the key themes in the 28<sup>th</sup> chapter of Job can be seen as A. “Place”, B. “Discovery”, C. “Way”, and D. Counter-point. These themes are developed in different passages found in the chapter.

For instance, the theme of “place” in the chapter can be developed in the beginning of the chapter in verses 1-2 where the author speaks about how precious metals have an assigned place in the earth. In verses 5-6, one can again see the theme of “place” where the passages speak of the earth having specific regions or appointed places for where precious stones are to be found. Verse 12 can also be viewed as the theme of “place” for in the refrain asking where wisdom can be found it also asks where the place of discernment is to be found. Verses 20-22 also repeat the refrain from verse 12 where the place of wisdom is hidden not only from the eyes of man but from animals and even death. The final place where the theme of “place” can be seen is in verses 23-27 where only God knows the place where wisdom is.

Even though “place” is seen several times in Job 28, it can also be seen in different parts of the Bible. “Place” can be seen in several passages, for example all rocks have a place on the earth (Job 14:18 & 18:4) as well as the earth having its special place in the cosmos (Job 9:6). The east winds have a place in the heavens (Job 27: 23) just like the dawn and darkness are assigned their places (Job 38:12, 19). Another passage states the status and place of mortals on earth (Job 7:10, 8:18, 27:21 and Ps. 103:16). With the places that “place” is mentioned in Job, it can be deduced that when mentioned in Job, it normally refers to an appointed position in the divine design of the universe (Ps. 104:8). The author, by showing that all rare things have some sort of place, is also preparing to ask about the position of wisdom, which is the most precious find of all (verse 12).<sup>50</sup>

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<sup>49</sup> The outline of the 28<sup>th</sup> chapter of the book of Job, which I am putting into paragraph form, separates the chapter into three areas, which are seen in different parts of the chapter. The final verse, verse 28, is, in a way, an anomaly in the sense that it seems to have been added after the chapter was written, i.e. 1-27. It seems as if from verses 1-27 seem to show that man cannot find wisdom and then in verse 28 man can for it is in fearing the Lord. For more on this, one can see: Carol A. Newsom, “Re-considering Job,” *Currents in Biblical Research*, 5 (2007): 163.

<sup>50</sup> Norman C. Habel, *The book of Job: A Commentary* (Philadelphia: The Westminster Press, 1985), 395.

The second theme of the 28<sup>th</sup> chapter of Job is that of discovery and can also be seen mixed in between several verses in the book. It is first seen in verses 3-4 where it makes known that humans probe the earth in order to discover precious metals. The theme can also be seen in verses 9-11 where humans perform godlike feats in order to discover where the precious metals are hidden from view. Verses 15-19 also show the theme of discovery taking place in the text. This can be seen where the text speaks of humans not being able to discover wisdom like they can with precious metals. The final place where the theme of discovery is seen is in the verses of 23-27 where only God can see wisdom and find it.

The third theme is that of the “way or access.” This can also be seen throughout the different passages, as well as intertwined between the other passages. The first place that it can be seen is in verses 7-8 where the way to wisdom cannot be seen by the eye of a falcon or any other wild beasts. Another place the theme of “way” can be found is in verse 13, where the way of wisdom is not made among the living on earth or in the ground below. Finally, it is seen in verses 23-27 where only God discerns the way to wisdom.

The final theme is that of the “counter-point.” This, as I have written earlier, can be seen as a later addition to the text. It is found in verse 28 of Job 28 where wisdom only comes from fear of the Lord. So the themes can be seen as structured in A-Place (verses 1-2, 5-6, 12, 20-22, and 23-27), B-Discovery (verses 3-4, 9-11, 15-19, and 23-27), C-Way (verses 7-8, 13, and 23-27), and D-Counter-point (verse 28).<sup>51</sup> But what can be seen in this breakdown of the text? One thing that quickly stands out is the knowledge that the writer has about methods of mining at the time. Could this be a way of finding out the meaning or purpose of Job 28? What does that say about wisdom in general? Why was that used as a metaphor for understanding wisdom?

What is seen in Job 28 can be found on two levels. On the one level, one can see a sort of realism or a sort of real world example, perhaps based on the audience, which brings a new meaning to the text. Scott C. Jones points out that the language in Job 28 is loaded with significance. On the one hand, as I have written earlier, one can see the detail knowledge of mining which gives a realistic account as to how precious metals and jewels are found and mined, and on the other hand one can see the metaphors and associations that are made.<sup>52</sup> This, however, does lead to a problem with this text.

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<sup>51</sup> Habel, *The book of Job: A Commentary*, 394-395.

<sup>52</sup> Scott C. Jones, *Rumors of Wisdom: Job 28 as Poetry* (Berlin: Walter de Gruyter GmbH & Co., 2009), 30.

One of the problems that the text faces is its lack of words that it associates for mining and mining practices. One of the issues is that there is no word associated with what we would call a miner today. For instance, when examining Job 28 verse 4, The New Jerusalem Bible uses has this passage: “*Foreigners bore into ravines in unfrequented places, swinging suspended far from human beings.*” The same passage in the Jewish Publication Society’s translation of the Tanakh is as follows: “*They open up a shaft far from where men live, [in places] forgotten by wayfarers, Destitute of men, far removed.*”<sup>53</sup> How can the same passage be translated into two different meanings? In the New Jerusalem Bible translation, if one is to assume that is what the author is writing about, why are miners equated with being foreigners?

In order to address the discrepancies between the two translated texts, I propose to first look into what can be deduced from examining a Biblical concordance as well as scholarly sources on the topic and what that can say about wisdom literature in general. Firstly, while examining different commentaries regarding the passage, it was made clear that the text is or has some unclear meanings behind it. Driver and Grey, in their commentary on Job, point out that verse 4 is “another verse obscure in detail: probably it refers to man’s skill in driving shafts into the earth, possibly also to his audacity in descending into the mine in cages that tremble on the rope.”<sup>54</sup> This can also be seen in another commentary where MacKenzie shows, “These verses, although tantalizingly obscure, give an interesting glimpse of ancient mining techniques.”<sup>55</sup>

When examining a concordance to the Bible and searching the word “mine,”<sup>56</sup> there is no reference to any texts in the Bible, which refer to digging for items but only mine as in the personal possessive pronoun. So what is one to do? Leroy Waterman wrote a piece on Job 28 verse 4 and how to address the issue of the passage in regards to the language used or not used therein. This leads to how one can solve the problem of the passage. One needs to examine the texts from a historical-critical lens, trying to examine the text from how it would have made sense in the period it was written in.

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<sup>53</sup> I do find it important to note that in the Jewish Publication Society’s translation of the text they note that the translation of the verse has words that are unknown in Hebrew or that the meaning of the Hebrew word is uncertain.

<sup>54</sup> Driver and Gray, *The International Critical Commentary: A critical and Exegetical Commentary on the Book of Job together with a new translation*, 238.

<sup>55</sup> MacKenzie, S.J., “Job,” 526.

<sup>56</sup> Alexander Cruden, *Cruden’s Complete Concordance to the Old and New Testaments*, eds. A. D. Adams, C. H. Irwin, and S. A. Waters (Grand Rapids: Zondervan Publishing House, 1975), 433. Also note: s.v. “mine” and under the word there is no mention of anything related to mining.

Waterman points out that in Job 28: 4 there is no word for miner and the equipment that a miner would use during that time. He claims, "This is all the more noticeable inasmuch as in v. 3 he is at particular pains to emphasize the fact that some one who is not named "puts an end to darkness." Most English translations go wrong at this point and obscure the issue by inserting the word "man," which is not in the text. Furthermore it is perfectly evident that the writer is not speaking of man in general, but only of the particular man who works in the mine, and he goes on to say that "he searches out to the farthest bound the precious stones that are found only in the thick darkness and black gloom" of the mine."<sup>57</sup> He goes on to explain that the passage must be referring to shaft mining since it was already common in Egypt by the 3<sup>rd</sup> millennium BCE.<sup>58</sup> Driver also makes note of this in his work "Problems in Job" where he examines the Hebrew words to conclude that the passages make reference to disused excavations, which are the only reminders of miners whom have been long forgotten. In his translation, he replaces the words "they" and "foreigners" (as seen in the translations I have used and included previously) with "a strange people."<sup>59</sup>

Waterman explains the different techniques used in mining at the time but comes to show that there are several issues with the passage and the language used which could show that there was a mistranslation in a word that would have made it known that the person that is referred to in the passage was someone who used a lamp in a shaft or a mine. He also writes that by changing a letter in the translation, one could come up with people of the lamp but he also shows that there was no attempt anywhere to show that miners were ever called people of the lamp.<sup>60</sup> One thing that is interesting, however, from his finding is that he makes the point that in ancient times the work done by miners or mining in general was done by forced labour, criminals, or prisoner slaves.<sup>61</sup> This could account for why the translation of the word in the New Jerusalem Bible referred to foreigners<sup>62</sup>.

There is, however, another argument regarding the language used in the passage. This argument moves away from the focus of mining and deals more with the poetic nature of the passage. Steven T. Byington has studied

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<sup>57</sup> Leroy Waterman, "Note on Job 28:4," in *Journal of Biblical Literature*, Vol. 71, no. 3 (1952): 167.

<sup>58</sup> Ibid., 167-168.

<sup>59</sup> G. R. Driver, "Problems in Job," in *The American Journal of Semitic Languages and Literatures*, vol. 52, no. 3 (1936): 163.

<sup>60</sup> Ibid., 169.

<sup>61</sup> Ibid.

<sup>62</sup> As a note: The word "foreigner" is mentioned several times in the Bible. (Ex. 12:45, Deut. 15:3, Ob. 11, and Eph. 2:19) Alexander Cruden, *Cruden's Complete Concordance to the Old and New Testaments*, eds. A. D. Adams, C. H. Irwin, and S. A. Waters (Grand Rapids: Zondervan Publishing House, 1975), 230.

Job 28 and come to the conclusion, about verse 4, that “less of this passage is about excavating of the rock than the work of prospecting, which is both more picturesque for the poet and more relevant to the topic of the chapter than excavating.”<sup>63</sup> He goes on to describe the Hebrew words that are associated with his arguments and where they are placed in the texts. What he finds is that the verses could be translated into saying that the men are not digging or mining but exploring sources of rivers to bring the hidden things to light. To justify this, he uses the example of Herodotus and exploration of the Nile as well as several sources that show that that practice was common during the time frame that the story is dated to have been written in. He concludes that it makes perfect sense that the exploration of a river would be the basis of the story and not mining for the imagery of searching out sources in a river and the success that man can have is more in line with the story of Job 28.<sup>64</sup>

So how can understanding what the author meant in Job 28:4 and the language used, come to help someone understand the meaning of the text or its relation to wisdom literature? William Irwin made an interesting point in “Where shall Wisdom be found.” In this work, while examining Proverbs 8, he concluded that it is not easy to choose the best wording but it is important to show what the words can mean. This is a problem with the translator and the words chosen reflect something deeper. Wisdom has been an attribute of God and wisdom has found joy in creation and as a result Wisdom is the total of values of the human spirit.<sup>65</sup>

Habel also has an interesting interpretation of the meaning behind the 4<sup>th</sup> verse in Job 28. He pays particular focus on the use of the word “limit” and the development of that word and motif in the verse. He claims that there are two meanings for the use of the word, the first being that it shows the quest and drive of humans to reach the limit of any natural phenomenon in searching for precious metals and stones. The second comes from the dangers that humans face in trying to find rare items in the extremes of the earth, which will take people far from civilizations and possibly into perilous situations. He sees the use or image of the miner as a good one. Miners, as he puts it, “risk all as they probe dark and mysterious rocks deep in the earth (v.3) or hang suspended precariously down the shaft of a distant mine (v.4).”<sup>66</sup>

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<sup>63</sup> Steven T. Byington, “Hebrew Marginalia II: Job 28,” in *Journal of Biblical Literature*, vol. 61, no. 3 (1942), 205.

<sup>64</sup> Byington, “Hebrew Marginalia II: Job 28,” 207.

<sup>65</sup> William A. Irwin, “Where shall Wisdom be found,” in *Journal of Biblical Literature*, vol. 80, no. 2 (1961): 142.

<sup>66</sup> Habel, *The book of Job: A Commentary*, 396.

He also points out that there may have been more meaning to simply showing the image of the dangers humanity takes in its searches. He points out that earlier in the book of Job, Zophar challenges Job in 11:7 asking if he can find the mystery of Eloah and find the limit of Shaddai? He claims that in using the word “limit” in the passage, the author anticipates that humans will search deeper for wisdom as seen in verse 12. He also shows that the act of “penetrating and probing” points to the wisdom that only God can “probe” in verse 27. So he concludes that the use of mining is a paradigm for probing a mystery in the natural world, i.e. wisdom. Additionally he finds that the terminology that is used to describe the darkness that the miners descend into has overtones of the underworld (cf. 10:21-22) and where the miners are like the people digging into Sheol (cf. Amos 9:2) exploring the mysteries of the deep. This, he writes, then make the passage of Zophar make sense in 11:8 where he says that the limits of God’s wisdom is far deeper than Sheol and deeper than where any miner can reach.<sup>67</sup>

## Conclusion

Wisdom can be found in the book of Job chapter 28. For what is the purpose of Wisdom and wisdom literature? It is a quest to answer the question of how to live rightly according to God and Job 28 shows that. Using imagery it shows a quest for the search for wisdom.<sup>68</sup> This is affirmed in Proverbs, where living rightly according to God leads to life, while recklessness leads to death.<sup>69</sup> In Ecclesiastes, however, it asks what happens to wisdom when one dies? If everything is cancelled out at death, except for wisdom, then life cannot be meaningful if everything that one gains is lost at death.<sup>70</sup> This is where the book of Job comes in and makes a new meaning out of what is seen in Proverbs and Ecclesiastes.

Job challenges what is seen in Proverbs and in a way, turns it on its head. He is righteous yet he suffers. He is punished like any wrongdoer in the eyes of God; exactly what Proverbs predicts will happen. But what the book of Job does, particularly chapter 28 is that it establishes whether people are actually pious or not based on the moral quality of their lives and not by accidental circumstances of their material existence.<sup>71</sup>

The use of the image of the miner and the discrepancies of the language don’t detract from the message in Job 28. Job 28 does not

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<sup>67</sup> Ibid., 395-396.

<sup>68</sup> Roland E. Murphy, *The tree of life: an exploration of biblical wisdom literature*, 2<sup>nd</sup>. Ed. (Grand Rapids: William B. Eerdmans Pub, 1996), 55.

<sup>69</sup> Clines, “The book of Job,” 370. see also Proverbs 1:32, 3:1-2, 13-18, and 8:36.

<sup>70</sup> James L. Crenshaw, *Old Testament wisdom: and Introduction* (Louisville: Westminster John Knox Press, 1998), 118-121. And Clines, “The book of Job,” 370.

<sup>71</sup> Clines, “The book of Job,” 370.

necessarily praise wisdom, as seen in other texts, but it shows the search for a transcendent wisdom, which we all struggle with and struggle to understand. What it shows is how people came to understand the search for wisdom given the time they were asking the questions. This chapter not only shows the search for wisdom, but it opens a window into the experience and understanding of the worldview of the author. It also shows that God has given humanity the skills to search out things of value but wisdom is something that cannot be found. He has given us the opportunity to learn all that we can in order to live righteously and well since only God knows wisdom. We will never know everything, and this is evident in the problems of language and translation in verse 4. One thing that humanity can know is that turning from evil and fearing God is the wisdom that God imparts on humanity.

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# TRANSFORMATION OF PUBLIC ADMINISTRATION AND THE APPROACH OF GOVERNANCE

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## Abstract

A process of transformation that almost affects the whole world public administrations in the whole world beginning from the first half of the 1980s and makes changeovers in the structures of classical public administrations has revealed new expectations in the field of public administration especially with the inducing of the global dynamics. The reason behind is the inadequacy of bureaucratic mechanism of classical public administrations that become clumsy day by day to meet the demands of the citizens cause new expectations. On the other hand, undoubtedly, this reconstruction attempt that pretend to respond to citizen expectations is no doubt not an easy process. This study analyses the restructuring of the government with the alteration in the systems of public administration and how the role and function of government redefined in this restructuring by centralizing the concept of “governance”. Within this scope it has been analysed; the period of change in the understanding of public administration, the basic dynamics of the change, the development of governance consideration and the reflections of the change to passing to governance and to the implementation.

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**Keywords:** Government, Public Administration, Globalization, Reform

## Introduction

Citizen’s perspective towards public authority and the state has changed beginning from the last quarter of the last century because; the worldwide double-sided political power competition and ideological blocking has ended up, the ultranationalist structures have been elasticated, a fast internationalization in the economic area has been experienced with the development of communication and knowledge technologies, a strong competition exceeding the borders of nation states has dominated the worldwide.

On the other hand, this process caused public's demands for codetermination to become a current issue through the increase in the expectations and wants aimed at public services to be fulfilled in a high quality and transparent manner and through the gaining functionality of democratic mechanisms. By this way the mentality world belonging to previous period and administration paradigm pertaining to this world has changed. With this alteration, components that are basics of liberal, economical and political thinking such as individualism, flexibility, entrepreneurship, effectiveness, profit-making, risk-taking and competitiveness have become core values of the new economical, social and political structuring that showed up.

There are new expectations in the field of public administration. These expectations are revealed by global dynamics that effected the administrations of the whole world and shaken the foundations of traditional administration. There is also a need of change that is inevitable because of the inability of bureaucratic mechanism that is insufficient to meet the needs of public. This reconstruction attempt that professes to respond to new expectations and to the need of change is not a short-term project. The reconstruction attempt in public administration is a process that is needed to be conducted closely interrelating and interacting state's political, economical and cultural systems as a whole. The success of this attempt will require a long-running, complicated and versatile struggle targeting to get support of all the fractions of public and to overcome the strong and inevitable resistance to be faced.

This study analyses the restructuring of the state with the change of public administration paradigm and how the role and the function of the state redefined, centering the good governance reform approach. In this context, firstly the period of change in the understanding of public administration and then the basic components of these reforms and reflections of them in application is analyzed based on governance approach.

### **Public Administration And Change in Understanding of State**

The world is in an important process of change. There are lots of things that have been changing from economics to politics; from state administration to company management and from values to beliefs. There have been stunning developments in the areas of science and technology. New principles have been adopted in the direction of passing through post-modern community from modern community and the new rising values have been forcing the communities to break away from traditional values and to change in the whole world (Aktan, 2003: 91). There have been great changes in almost all areas beginning from the last quarter of the past century. The richness that humanity brought today from centuries has been

changed dramatically and new structures and processes have been articulated into this richness.

The globalisation phenomenon have been characterized by versatile global changings that left its mark on the age in the later of 20th century and in the new century. This phenomenon have been specifying the direction, the perspective and the effects of the changings. The effect of the globalisation phenomenon has been spreading to national and international theories and applications and has been surrounding all around the concepts, rules and societies. One of these concepts or may be the most important one is the concept of state and public management. Especially the concept of nation state in one of the most debated and discussed issue in the globalising world. The starting point of the discussions is the claim that globalisation has finished the period of nation state and national administrations have been underwhelmed in the presence of globalised economical and socail processes. With modernity's losing its effect on social, political and culturel areas and with a post- modern new process begining in almost all areas, it has become a current issue that the phenomenon of state to gain a new content and to be reinterpreted.

This reinterpretation process has changed the public administration structures and organisations as well as the structures of developped economies. In addition to the alteration that the developped economies has faced; privatization, deregulation, liberalization and marketization processes have been speeded up. The general name of these practices in the area of public administration has been presented as "reform". However, begining from 1980s the area of public administration has been witnessing radical reform practices in developped and underdevelopped countries. These years have been refered as "golden age" of reform practices (Hughes, 2003: 48) as well as they have been refered as the years of "administration revolution" (Kernaghan, 1996: 636-644). On the other hand the radical attempts to restructure the state beginning from developped economies, directed the arguments in the area of public administration to talk about paradigm transformations (Gray and Jenkins, 1995: 75-99) frequently. It is possible to collect the transformations mentioned under two sub-titles. The first one is, from the administrative aspect; the changeover from traditional public administration approach to new public management approach and from the political aspect; the changeover from bureaucratic organization to entrepreneur state organization. The second title is the changeover from public management paradigm to the paradigm of governance. Shortly, redefinition of the role of state in process of reconstruction caused fundamental transformations to start and paradigm discussions to rise in the discipline of public administration. These transformations are not only hypothetic but also tangible in practice. In this period the concepts that took

place on the top of public administration studies; “new public management” and “governance” have gained popularity as two important paradigms of the discipline of public management. In this historical process, the modern nation state went through the transformation on the face of the all over differentiating structure of the world. In the globalized world the nation state entered into the process of change shell in the direction of new functions that showed up with changing conditions and needs. This period of change that the state experiencing has effected mostly the paradigm of public administration which is the main function mechanism and executive power of the state. And the public administrations of the countries got their share from this stunning and surrounding change (Parlak, 2003: 347-383).

This new paradigm has developed naturally on the criticism of the old public administration. The old administrative understanding has been seen as the responsible of the dissatisfaction from the state especially in 1960s and 70s. The old public administration that is based on the Weberian ideal bureaucracy fundamentally has been criticizing the hierarchic and virtue based bureaucratic system. The complaints are; the hierarchic and virtue based bureaucratic system is not suitable for democratic values, it doesn't have an effective organizational form so that it could not meet the social requests. Moreover it's unsuccessful procedurally to suggest the ideal and the best way (Olsen, 2003: 70-82). The Weberian ideal public administration type and traditional democracy theory have been focusing on the interaction between administrative area and political area and on the interaction between the electeds by voters and the directors that the electeds delegated. The interaction between hierarchical layers is quite a little. Here the directors determine the basic principles and methods that the societies are attached and expect the other actors to obey these rules. In this process legal regulations constitute the most important assurance of administrative dynamics (Olsen, 2003: 70-82). It has been suggested that when these legal regulations can not meet demands and interaction between layers decrease the efficiency in direction and accordingly in public administration will fade away.

### **Reforms of Public Administration**

Since the end of the last century, public administrations have been changing all over the world, especially in developed western countries. On one hand the fragmentation and going far from center of the expressions and analysis have been becoming prominent, on the other hand the boundaries between private sector and politics have been becoming indistinct (Ates, 2003: 3003-331). Public administration that has been changing with the effect of globalization process have been seen in the efforts of adapting to today's changing conditions and new requirements. Today initiatives of inclusion the new phenomena and administration techniques that basically

settle down the area of business management to the structural and operational processes of public administration take place near the top of the political and administrative agenda of most of the states. These new phenomena can be stated as; codetermination, democratic governance, professional governance, autonomy and localisation, governance, optimal service delivery, performance management and professional administration. The hierarchical, solid and bureaucratic public administration that was dominant during the 20th century has been giving its place to the public administration that is more elastical and based on market economy. This change is not an ordinary reform or a change in the manner of management. It has been expressing an important understanding change in the role of state in society and state-citizen relations. The traditional public administration understanding is the most surviving theory in public sector. But the theory lost favor more and more with the rapid changing of society and the New Public Management concept came up as a new paradigm (Hughes, 2003: 17). This new understanding has affected basic and essential characteristics of bureaucracy such as it is a basic service delivery device and it is permanent.

Firstly the production of goods and services to be provided by bureaucracy has not been seen as the only way any more. The elastical management systems implemented by private sector have been adopted also by the public sector from now on. Besides an understanding has been dominating such as the governments can have a indirect role in the area of service delivery instead of directly service delivering. Actually political and administrative problems related to these subjects have been existing since before now but reflexions of them on the business structures have been discussed mostly in recent years. The existence of public demand is the most effective mecanism to ensure accountability awareness in bureaucracy which functioned disjointedly from society at one time (Bilgic, 2003: 25-38). From this point of view the understanding of public management is the determined efforts exerted to procure saving, effectiveness and efficiency in public. This understanding concentrates on the facts such as; management, efficiency, productivity, performance, competition enhancing tender, cost decreasing and focusing on outputs (Rhodes, 1996: 652-667).

These versatile alteration dynamics that showed up especially with globalization have been affecting the countries all over the world. The revolutions that these developments caused in thinkings, beliefs, traditions, values and in corporate formations have been producing changeovers and transformations in socio-economic and cultural structures of societies. The versatile developments within this scope can be listed as follows; composition of new markets and international fierce competition, international and regional consolidations, developments in information and communication technologies, new technological inventions, development

and proliferation of computer systems, developments in the area of material technology that reduce production costs, advances in the area of human rights and democracy, to be understood of the importance of human factor in organizations, to be understood of human resources to be driving force of economic development, the change in customer expectations about quality and qualifications of product, increase in democratic management expectations and codetermination wants of employees, fading of socialist collectivist production system and significance of state in economy and change of demographic structure and labor force composition (Saran, 2004: 13). In the understanding which depends on the values of economy, efficiency and effectiveness; private sector is thought as an efficient and effective device in service providing and techniques of this area are to be used in public sector (Tan, 1995: 175-193).

Since the concepts and facts related to state or public administration are closely connected to the developments that affect community life, the change in public administration goes parallel or closely connected to the line of change in social, economical, political and cultural areas. In this context; the concepts, institutions, structures and processes that lived on the basic dynamics of the knowledge period transition process in the areas of thinking and culture, science and technology, economics, politics, business organization and working relations have structured the formation of new public administration paradigm (Eryilmaz, 2004: 79). When considered in terms of this approach alteration movements, directed by the concept of globalization and aimed at democratization, flexibility, participation, effectiveness of individual and featuring individual talents, have showed their effects mostly on hierarchy and the phenomenon of bureaucracy which is the primary element of traditional organizing (Blau and Meyer, 1995: 115).

This new paradigm in public administration has been brought to agenda of many governments in the worlds as a current and it has become popular. The basic characteristic of this current has been targeting to change first of all the traditional command and control mechanism in bureaucracy with market strategies and private sector behaviours. The leitmotiv of this new reform current is to increase the effectiveness in public with private sector methods and practices transferred (Kettl, 2000: 2).

On the other hand this new administrative mentality has been integrating with the approach of governance which was defined as a function realized by public-private, state-nonstate, national-international actors and which was used to conceptualize the development of new transactional relations. Concept of governance, which was derived from the concept of "administration" and which was used during the last twenty years as the opposite of this concept, has been used as a "new" management process or

the administration of society with a “new” management style (Rhodes, 1996: 652-667). In this new concept, administration is not a process that is carried out only by state; private sector and social society should be included to this process. The governance proposes participation of private sector and nongovernmental organizations to political will as well as the state and it presents the necessity of a new management style to realize this proposal. This tendency rescued public administration, whose importance and function will decrease with weakening of centralist bureaucratic governing structure in post-modern society, to be a relation area directed and controlled only by the state. Moreover it transformed the public administration to a relation area that took shape within a dynamic and mutual interaction process between public and private sector organizations, nongovernmental organizations, international organizations and the structures that use political power.

It is inevitable that this new mentality and technological and socio-economical variables that reveal this mentality will show their effects mostly on bureaucratic structure and institutions that the modern nation state brought to the position of implementation tool of the role and the functions attributed to itself. Bureaucracy has undertaken the duty of management and direction of society and economical activities to the name of the state. In addition, it has taken on new tasks by widening its area of interest and interference. Thus the state needs a wide staff, a centralist pyramid based on solid hierarchical organisation, the command system and a tight control mechanism to fulfil its duties and to meet the new services and prosperity expectations of society. It has been reflecting a natural process that the new public administration paradigm to criticize all the principles and institutions which represent Weberianism and bureaucracy as not to be the primary theme of new public administration understanding anymore. So there has been a drift all over the world; from the understanding of evaluating the public administration mechanism's style of handling and presenting the public services to be “a single-sided service”, to the understanding of “public management” which evaluates public institutions as businesses of private sector and public services getting citizens as customers of these businesses (Saran, 2004: 16).

The principle problem areas of the alteration towards public management have been concentrating on the points that; how the public institutions will perform public services without being under state monopoly or concessions, in market conditions and according to profitability and productivity principles, what kind of rationalism base this kind of administration approach will have and how the public institutions will benefit in their operation and reconstruction in this direction from the knowledge, attitude and techniques of special administration area. On the



other hand the new public administration paradigm defends public administration to be carried out with the motives of profitability and productivity and public institutions to be managed as business like organizations. From this point the new paradigm seems to be able to meet the expectations of quality-oriented management with its attitude that regards citizens as customers and focuses on results instead of inputs and processes (Saygilioğlu and Ari, 2003: 33).

In this context there exists a process turning from bureaucratic organising that reflects basic mentality structure of industry period in the area of management, towards post- bureaucratic organising. It has been thought that in this process, democratic procedures and mechanisms in management will gain importance and efficiency in a business or public organization where hierarchy decreased as far as possible with disappearance of division of labor, authority and controlling structure of Weberian bureaucratic management pattern. Moreover, there has been a trend towards individual and result based structuring instead of a structure that is organization based and content with fulfilment of requirements of formal rules (Romzek, 2000: 21-41). As a result the new public administration understanding which has been taking form on the rising values of global change has been causing fundamental changes on the settled understanding and approaches of the public administration area (Dincer and Yilmaz, 2003: 29).

### **Governance as Public Administration Reform**

In recent years the alteration wave in public sector shows itself in a basic vision. In this vision public administration dependent to rules and central authority has been giving its place inevitably to public management that is elastic, result-oriented, performance-based and attached to private sector experiences (Olsen, 2003: 70-82). Since the responsible of the poor performance in public sector has been seen as the administrative bureaucratic structure that is excessive rule-bound and owner of centralized control, division of labor and procedures (Hood, 1991: 3-19).

The basic reasons of the emergence of this vision named as governance reform can be summarized as follows: (Olsen, 2003: 70-82):

- Centrally organized and rule dependent public administration lost its importance anymore.
- Administration by command left its place to administration for results, agreement, deregulation, indigenisation, commercialization and competition.
- Activity can be defined as; service delivery based on costs, effectiveness and performance rather than convenience to formal rules.
- This vision depends on market economy and private sector experiences and refuses the specific nature of public sector. The vision has been taking as

a model the behaviour of private sector that is working in competitive markets, by constructing itself on the values and experiences of it.

- Directors have a wide discretionary power and has a limited contact with ministries.
- The society is the sum of customers focused on their individual benefits. Their relations with the state are commercial rather than political. And they are mostly clients rather than citizens from this point.
- Hierarchical public administration structures have been demolishing and the importance of collaboration between society and state has been increasing in a world where the collaboration has developed.
- Administrative activity can be defined as; the process of mobilising resources and constructing supports.
- Organizational governance can be defined as volunteer and mutual structuring of public and private sector actors in joint venture. Their coordination occurs without existence of a hierarchical headquarters that is oriented towards a special purpose.
- Dichotomies such as state-society, political area-administration and public-private has been becoming uncertain or insignificant.
- Democratic quality of public administration depends on the extent of the free negotiation and bargain between citizens, voluntary agencies and public enterprises and on the knowledge of attendants

In the alteration vision in question, it has been focused on the interaction between state and society. It has been admitted that the relationship between state and society has changed from a control and hierarchy mechanism into a network governance where the society as a whole share decision making process in some way. The governance reform has been described as set of values such as; accountability, transparency, participation and foreseeability which meet citizens' expectations and requirements and help the state to increase good performance displaying capacity. The reform has been aiming to increase interaction and communication between the state and the other institutions in society and to constitute the decision making process with relationships between state-society, state-market and administrations. This vision has been put forward with reference to the hypothesis that claim the necessity of constitution of an administration compatible to the complex relationships network of global age (Peters, 1998: 223-243).

The concept of governance became a current issue with discussions of change and transformation in public administration. It has been arguing that the central power in administration should not be unidimensional and from top to the bottom dominating. On the contrary the components that constitute the administration system and actors that take part in

administration process should realize joint participation with collaboration and compromise and in a way based on horizontal coordination (Saran, 2004: 22).

The theme of governance has been predicting; a foreseeable and open public policy process, bureaucracy that has professional ethics and business mentality, inspection of transactions and actions in public, a strong social society that will participate in public duties and services and superiority of law. Besides the perspective of governance model, components such as “openness in administration”, “participation to administration”, “social society”, “controlling and accountability” have been standing out (Saygilioğlu and Ari, 2003: 267). When these concepts have been generalized, it can be said that the concept of governance has been including mechanisms, processes and institutions that citizens and groups will convey their interests, will use their legal rights, will meet their liabilities and will reduce differences (Ozer, 2005: 318).

Although the vision of governance has been entered into the literature of public administration more recently, it has been caused the administrative structures of countries to be compared within the frame of governance principles. In this direction comprehensive transformations have been done to specify quality value of governance. Moreover it has been assumed that there have been meaningful relations between economic and social development; value and development level reached in terms of governance. In this general framework, governance has been presenting a system frame for modern management and policy understanding to regain the authority that it lost with mechanisms depending on; horizontal coordination, information flow and sharing, widespread communication infrastructure and open participation of actors that form political-administrative integrity.

## **Conclusion**

While the regulatory function and dependence to detailed rules of 20th Century public administrations, manifesting itself mainly with understanding of social state, central planning, protector social policies and taking active role in economic life have been increasing; comments in the direction of goods and services markets’ functioning affected negatively, fiscal discipline deteriorated and public deficit increased have been standing out. Within the framework of these opinions, fiscal balances which were deteriorated because of the state’s regulation of public administration, public sector and functions and responsibilities of state should be reconstituted. It has been propounded in recent periods that to reconstitute the fiscal balances, to prevent waste of resources, to redound needed flexibility and effectiveness to administrative mechanisms; basically the interfering, restrictive, monopolising and concession providing rules should be lifted.

The key concepts all over the world are economic stabilization and structural reform with regards to the stability of social order redefined in 21st century and determination of roles and responsibilities that the public administrations should undertake in this new order. Today the concepts such as; good governance, e-state, confidence, social capital which reveal the society's direction of self-perpetuation, increment the organizational power and capacity, consolidation the producer and regulatory potential have substituted these key concepts.

State and public administration which take inspiration from the philosophy of governance have been locating on a ground where; political boundaries and national sovereignty understandings lost their earlier solidity, regional and international organisations gained importance, good and services so that technology and flow of information accelerated within the domain where the global capital bounded, individual preferences and sub-identities didn't fit into the standardised templates of national identity structure, cohesiveness and influence power of progressive targets set with the central planning discipline and development understanding weakened.

Public administration located on such a ground has been transformed into a structure which provides balance, rapport and coordination between non-governmental organisations and civil communities; opens the ways of participation into the political and administrative decision and implementation processes; provides, organizes, directs, encourages and mobilises interaction and communication needed between associations or shareholders that constitute outlines of management network.

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# **CONTACT IMPROVISATION, A DANCE TECHNIQUE AS A REPRESENTATIVE ART FORM OF THE SEVENTIES IN AMERICAN CULTURE**

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## **Abstract**

My research paper intends to examine a dance technique – Contact Improvisation - founded by Steve Paxton in the early-seventies as an art event that was supposed to display the body's natural ability to respond physically to the effects of its environment. I would like to explore to what extent Contact Improvisation as an art form is a good representation of the phenomena of the 1970s in American Society. I will look at this dance technique from multiple different aspects, those that could be considered as characteristics of the seventies.

These are some of the ideas I elaborate in my conference paper:

- i. I will research whether the broad, almost nationwide interest in the experience of spiritual rebirth and transcendentalism can be experienced behind the ideas that Contact Improvisation represents.
- ii. I will try to reveal how this technique worked against the general alienated feeling of the 'Me Decade' because we know that Steve Paxton – initiator of this technique - insisted on Contact Improvisation as a group work, creating deep bonds.
- iii. The seventies were famous for their solid base for consciousness raising movements. Freeing the body and its sexuality from the earlier social control opened the door to body expressions that had previously repressed. I will argue that Contact Improvisation works as a tool of exploring the natural capabilities and possibilities of the human body as a new frontier and let participants feel equal in the interaction.

- iv. I would like to discuss the connection between Contact Improvisation and the decline of American institutions in the seventies as Contact Improvisation is emphasized to be non-hierarchical and egalitarian.

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**Keywords:** Contact Improvisation, seventies' society in America, awareness raising movements, body response

## Introduction

My paper intends to examine a dance technique – Contact Improvisation - founded by Steve Paxton in the early-seventies as an art event that was supposed to display the body's natural ability to respond physically to the effects of its environment. I would like to explore to what extent Contact Improvisation as an art form is a good representation of the phenomena of the 1970s in American Society. I will look at this dance technique from multiple aspects, those that could be considered as characteristics of the seventies.

First I will research whether the broad, almost nationwide interest in the experience of spiritual rebirth<sup>72</sup> and transcendentalism can be experienced behind the ideas that Contact Improvisation represents.

Secondly I will reveal how this technique worked against the general alienated feeling of the 'Me Decade' because we know that Steve Paxton – initiator of this technique - insisted on Contact Improvisation as a group work, creating deep bonds.

The seventies were famous for their solid base for consciousness raising movements. Contact Improvisation that was first recognized as a dance technique in this decade could contribute to women's comfortation by stripping the dancers of the traditional gender roles and giving women the chance to demonstrate even their physical power too in the duet by taking the male participant's weight, this way making them equal in the interaction. Freeing the body and its sexuality from the earlier social control opened the door to these kinds of expression that had previously repressed. The sudden appearance of private parts in public places reflected a new openness to thinking about the body, exploring it, expressing it and enjoying it.<sup>73</sup> So thirdly I will argue that Contact Improvisation works as a tool of exploring the natural capabilities and possibilities of the human body as a new frontier and let participants feel equal in the interaction.

Lastly I would like to discuss the connection between Contact Improvisation and the decline of American institutions in the seventies as

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<sup>72</sup> Shulmann, Bruce J. 2001. *The seventies: The Great Shift in American Culture, Society and Politics*. New York: The Free Press. xiii.

<sup>73</sup> Hine, Thomas. 2007. *The Great Funk: Falling apart and coming together (on a shag rug) in the seventies*. New York: Sarah Crichton Books. 98-99.

Contact Improvisation is emphasized to be non-hierarchical and egalitarian. Before going into discussion about those aspects of Contact Improvisation that show the phenomena of the seventies I would like to shortly introduce Steve Paxton's dance technique.

**I:**

### **What is Contact Improvisation?**

Contact improvisation – which hovers somewhere between gymnastics, wrestling, capoeira and improvisatory dance - was developed by Steve Paxton. „Contact improvisation is unchoreographed, growing in the moment... from a point of physical contact between two dancers. They work with mass, momentum, gravity; with themselves, each other and the floor. They explore balances, finding new ways to support each other, to free each other to fly. The ideal contacter can walk on hands as well as feet.”<sup>74</sup> This technique is a social form of the post-modern era that people could learn and practice without performance aspirations, it is also a technique whereby a new kind of performance became possible, that glorified the kinetic possibilities of movement and made no assumptions about gender roles and abilities. Not only was Paxton a revolutionary to the changing world of dance around him but his experimentation with movement and the structure of the human body crafted a different version of what it was to be a dancer.

### **Modern Dance in American Society**

Contact Improvisation was developed in the post-modern era and to be able to see how post-modern dance came into life we need to examine its roots in modern dance in the twentieth century, because structural similarities between the early formation of modern dance the experimental dance waves of the 60s and 70s show a repeating pattern. Dancers in both periods held ideologies of social consciousness and radicalism, often intentionally establishing connections between movement ideas and social concepts. Both early modern dance and contact improvisation were experimental movements, consisting largely of a set of principles and ideas about moving which people explored.

Closely related to the development of American music in the early 20th century was the emergence of a new, and distinctively American, art form, that is modern dance. Among the early innovators was Isadora Duncan, who stressed pure, unstructured movement among the positions of classical ballet. Duncan said "from early childhood I have considered the

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1 <sup>74</sup> *Moving History/Dancing Cultures: A Dance History Reader*. 2001. Ed.: Dils, Ann; Cooper Albright, Ann. Wesleyan University Press. 414



freedom of my body essential to rhythm of movement".<sup>75</sup> Her emphasis on the natural world and body in the context of concert dance – that is also characteristic feature of Steve Paxton's Contact Improvisation and of many post-modern dancers' repertoire - influenced the ideals of the modern dancers who succeeded her in America. A significant contributing factor to the development and spread of modern dance in the United States in the 20th century was the establishment of Bennington College's Summer School of Dance. The program was established in 1934 and led by dancer/educator Martha Hill.<sup>76</sup> Students attended classes in dance techniques, dance composition, music for dance, teaching methods, production, dance history and critical theory.<sup>77</sup> The school's faculty included established dancers and choreographers such as Martha Graham, Hanya Holm, Charles Weidman and Doris Humphrey,<sup>78</sup> many of whom had received their training from European Modern and Expressionist dancers. The Bennington School let American Modern dancers assemble to develop a dance genre of their own identity, while at the same time established a model for University-level education programs in dance in the United States.<sup>79</sup> With clear pioneers, pupils and principles, Modern Dance began to emerge as a distinctly American art form to be taught and developed throughout the country and continent.

Later choreographers searched for new methods of dance composition. Merce Cunningham introduced chance procedures – that Paxton learned in Cunningham's company and that served as basis to the emergence of Contact Improvisation - and composition by field. Alvin Ailey incorporated African dance elements and black music into his works, such choreographers as Mark Morris and Liz Lerman have defied the convention that dancers must be thin and young. Their belief, put into action in their hiring practices and performances, is that graceful, exciting movement is not restricted by age or body type, which is also held by Steve Paxton.

### **Post-modern Dance in American Society**

Without these great innovators in dancing, post-modern dancers would not have been able to start experimenting with natural, everyday movements and emotions in dance. The choreographers and dancers of the sixties– including Trisha Brown, Simone Forti, Yvonne Rainer and Steve

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<sup>75</sup> "The California Girl Who Made Athens Gasp Wearing Classic Grecian Costumes in the Streets and to the Theatres," San Francisco Chronicle, November 22. 1903, 8.

<sup>76</sup> Soares, Janet Mansfield. "Grassroots Modern" Humanities. 31, 5. (2010): 38-42. 1 Feb. 2011.

<sup>77</sup> Soares, Janet Mansfield. "Grassroots Modern" Humanities. 31, 5. (2010): 38-42. 1 Feb. 2011.

<sup>78</sup> Soares p. 39.

<sup>79</sup> Soares p. 40.

Paxton - created experimental dance workshops and together they explored kinesthetic awareness, they talked of the intelligence of bodies and of movement. In summer 1962, a group of dancers including the above mentioned young artists presented a concert of twenty-three works at the Judson Memorial Church on Washington Square, and the Judson Dance Theater was born, which could be considered a pivotal event of post-modern dance, that was an American dance movement during the 1960s and 1970s<sup>80</sup>. Like other cultural phenomenon of the time, it was a rebellion against traditional ideas and assumptions. Postmodernists questioned the established parameters of dance and pushed dance and art to new levels. They experimented with treating the body as a neutral enactor of movement rather than as an expressive, gendered personality. Choreographers and dancers also started to experiment with the body as the carrier of spirit, research the physical and mental healing effects of movement and the body as a tool of spiritual expression.

### **Orientalism and spirituality in Contact Improvisation**

The seventies were called the „The Third Great Awakening” by Tom Wolfe<sup>81</sup>. It was claimed that millions of Americans had tried transcendental meditation, practiced yoga and tried one variant or another of Oriental religions, from Orthodox Buddhism to the cults of Hare Krishna and the Bhagwan guru.<sup>82</sup> This phenomenon could be experienced in dancing too. The appreciation of non-Western dance led to an interest in the spiritual, religious, healing and social functions of dancing in other cultures. The disciplines of oriental martial arts led to new metaphysical attitudes. Experiences of communal living gave rise to dance forms that expressed or even caused social bonds. Dance became a vehicle for spiritual expression. For instance Deborah Hay's solos of the seventies included cosmic images that were similar to Hindu temple dances and Barbara Dilley's *Wonder Dances* used meditative movement explorations and moments of ecstatic outpourings showing the choreographer's interest in Tibetan Buddhism. Dance also became a vehicle for expressions of community with spiritual overtones, as in Meredith Monk's theatrical, mythic works such as *Education*

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<sup>80</sup> Goldberg, Roselee. *Performance: live art since the 60s*. New York: Hudson and Thames. 1998. 146.

<sup>81</sup> American author and journalist, best known for his association and influence over the New Journalism literary movement in which literary techniques are used in objective, even-handed journalism. Beginning his career as a reporter he soon became one of the most culturally significant figures of the sixties after the publication of books such as *The Electric Kool-Aid Acid Test*.

<sup>82</sup> Frum, David. *How We Got Here: The 70's: The decade that brought you modern life (for better or worse)*. New York: Basis Books. 2000. 144.

of *the Girlchild*, a portrait of a tribe or family of heroic women. These dances often use ordinary movements and objects; they propose new relationships between performer and spectator; articulate new experiences of space, time and the body.<sup>83</sup>

Similar to the dances above Contact Improvisation soon after its emergence was characterized as a therapy – fitting into dancing's healing effect on both body and mind – developing the individual's personal power and strength of presence. The sensation of movement is highly appreciated in Contact Improvisation as it is in most oriental martial art techniques especially in Tai Chi and Aikido - that are practiced to achieve physical health and fitness, as well as mental, physical, and spiritual development -, as opposed to Western movement – both in sports and dance – in which choreographed and controlled form of movement is prioritized lacking the sensitization of the body. Contact Improvisation on the other hand uses mostly spontaneous movements like leaning and rolling, letting dancers experience the feeling of the action itself and not of its product. Paxton was in Japan with Merce Cunningham and there, as well as in New York, was exposed to Eastern practices. This was all coming into his dancing and dancemaking. During the early seventies Paxton studied the Japanese martial art form Aikido and began to experiment with the rolling, falling and partnering skills of that movement technique. The Aikido roll for example requires attention to sensation on the back and neck for its proper execution and it could be broken into parts so as it allows one to feel its sensations. This breaking down into parts or slowing down of movements is crucial if we want to achieve free, spontaneous movements instead of habitual movement so dancers must develop a habit of awareness in relation to the reflexive reactions of the body, which is a basic requirement of most of the oriental martial art techniques (especially Tai Chi) and of Indian Bharatanatyam dance<sup>84</sup>.

To achieve confidence and easy flow in motion contact improvisers should train their bodies and mind via other techniques, such as hatha yoga that emphasizing awareness of the reflex activities involved in breathing and posture. Yoga also became very popular in seventies as a form of exercise to develop and maintain mental and physical health, purification of the body

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2 <sup>83</sup> Banes, Sally. *Terpsichore in Sneakers: Post-Modern Dance*. Wesleyan University Press. 1987. 98.

<sup>84</sup> Bharatnatyam is considered to be a fire-dance — the mystic manifestation of the metaphysical element of fire in the human body. Bharatnatyam is the manifestation of the ancient idea of the celebration of the eternal universe through the celebration of the beauty of the material body. It consists of elaborate gestures (Mridu Angaharas, movements of limbs), sentiments (Rasas), and emotional states (Bhavas).

and meditation, it is overall a very good stress-reducing technique. Yoga participants experience better sleep, increased energy levels and muscle tone, relief from muscle pain and stiffness, improved circulation and overall better general health. The breathing aspect of yoga can benefit heart rate and blood pressure and was started to use in the Western world in the sixties and seventies as a natural cure to relieve symptoms of anxiety, Contact Improvisation could also make very good use of not only its techniques but also its positive effects on body and mind.

### **Contact Improvisation and the awareness raising movements of the seventies**

The project of exploring, celebration and also alternatively healing the body is part of the broad phenomenon of the awareness raising movements of the seventies – including awareness of the human body, new sexual awareness and openness on sex, women's and homosexual egalitarian movements and new religious-spiritual awareness - to which Contact Improvisation contributed in multiple ways. Through giving and taking our and our partner's weight in the moves we gradually learn about the capacities and the boundaries of the human body that could provide a new ground for moving. With specifically designed exercises we can become and remain aware the body's systems reflexively interacting with „weight, momentum, friction, the touch of the partner, the sensation of the floor under our body and our peripheral vision of the space”.<sup>85</sup> Contact improvisers see the body as a sensuous, intelligent, natural part of each person, requiring acknowledgement and promising insight also believe that any body could be viewed in some way as an aesthetic conveyor as opposed to earlier dance forms where the notion of physical beauty was very narrow. As the jumping and falling show the influence of Aikido skills, the lighter touching gives evidence of the body awareness work of the „small dance”.<sup>86</sup> Being aware of what and how our bodies are capable to do and endure without pain is extremely important in Contact Improvisation as dancers lean and balance on each other in a sustained, suspended manner, fall off and jump back onto each other, and trade the role of supporting or being supported several times in the course of a duet encounter. Dancers often use the body in a whole piece, but sometimes parts of the body are articulated through successive movements – one body part moving after another – particularly in the rolling actions. His first piece called „Magnesium”<sup>87</sup> performed in a gymnasium on

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<sup>85</sup> Novack, Cynthia J. *Sharing The Dance: Contact Improvisation and American culture*. Madison: University of Wisconsin Press. 1990. 64.

<sup>86</sup> Some of the original explorations that are actually not done in contact and are solo explorations of body-use, the small reflexive movements that happen while standing still.

<sup>87</sup> performed in Oberlin College, Ohio in January, 1972.

the mat the dancers, all men, began by standing still and then started to fall off balance—falling through the space, spilling onto the mat, rolling, getting up, with little soft collisions, slides and falls, is a perfect representation of body awareness. Not only was Paxton a revolutionary to the changing world of dance around him but his experimentation with movement and the structure of the human body crafted a different version of what it was to be a dancer.

Paxton also challenged the concept of sex, sexuality and the philosophies of socio-sexual equality in dance. Comparisons have often been made between sex and contact dance. This is because contact improvisation demands the de-particularisation of parts of the body. Dancers, even beginners, must be responsive to the entire body; avoiding socially-taboo genitals. Within the form there is an emphasis on equality between people and letting go of traditional role expectations. It is important that people take responsibility for themselves and only do fifty per cent of the work. „Contact makes an important statement about relationships – about what is my responsibility, my territory, my decision making power, and what is yours.”<sup>88</sup> This form offers the possibility for dancers to be seen as human beings not as idealized images, thus offering great potential for women working. In addition women develop strength in their arms, learn how to use their weights so that small women could lift large men, creating reversed roles that questioned the norm. This work was in contrast to work of the 1950's in which it was rare for women to touch each other or for men to touch each other. The Women's Movement and the Gay Movement broke down barriers which made it easier for casual physical contact and these were evident in the dance work of the 1960's and 1970's.<sup>89</sup> Cynthia Novack<sup>90</sup> also underpins this idea when she says that contact dancers who she made interviews with from the beginning level to the most experienced ones discussed the implications of touching and weight-bearing that are inherent in contact improvisation. They often related touching to a freedom from the restrictions for gender roles and from accompanying expectations about what kind of movement suits men and women and what parts of the body can and cannot be touched. Dancers felt that Contact Improvisation allows for partners to engage in close physical contact without necessarily experiencing sexual feelings and to engage in movement uncharacteristic of gender roles.

„Contact Improvisation has redefined a woman's strength capacities and possibilities and a man's sensitivity,”<sup>91</sup> said Silvy Panet-Raymond, a Canadian contact improviser. Many women say they believe Contact

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<sup>88</sup> Adair, p. 148.

<sup>89</sup> Adair, p. 149.

<sup>90</sup> Novack, p. 168

<sup>91</sup> Novack, p. 168.

Improvisation has enabled them to experience physical trust from men. I propose that Contact Improvisation can help women discover their own strength and power in their bodies, as well as help them develop understanding, healthy relationships with men - when a woman can partner with a man who is larger than her, yet she can "lift" him, carry his weight, or redirect his energy and movement with her own body, it is an empowering and cathartic experience. Contact improvisation is uniquely suited for use as a political tool for feminist practice, because of the egalitarian, nontraditional, reflective elements that it advocates and which are necessary for its success. Here I mean feminism as the belief that males and females are inherently equal, though different and the practice of males and females learning about and exploring these differences to better trust, understand, and respect one another. Contact improvisation could be an effective tool in a feminist workshop setting, used with non-dancers as a way to discover their own bodies' strength and versatility. They could also work on developing trust between the sexes, as each person is so focused and interdependent on their partner or group. This dance technique is one way that people can strive to develop the trust and understanding.

### **Contact Improvisation as a fight against the alienation of the 'Me decade'**

According to Daniel Lepkoff, a dancer of Paxton's Contact Improvisation „only looks like a duet when viewed from the outside, but for the person inside of the dance, it is a solo.”<sup>92</sup> This idea reflects the general feeling of the 'Me Decade', however Contact Improvisation is more frequently understood as a discovery of the pleasant and stimulating interaction with others, other bodily movements in order to reduce the fear of proximity. Paxton consciously constructed their performances to be tremendously accessible to the audience and he would call them a „kind of grass roots community work”<sup>93</sup>. He also insisted on Contact Improvisation as a group work, creating deep bonds. The basic form of contact improvisation outside the classroom and off-stage is the contact jam, an open event to which people come, warm up and dance immersed in a casual social ambience, where they form community, a community of experience, deriving from sharing a common dance form. Contact Improvisation creates community between dancers and audience. In some performances, according to Lisa Nelson a dancer, audience members would actually dance themselves

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<sup>92</sup> Lepkoff, Daniel. *Contact Improvisation: A Question*. Contact Quarterly. Annual 2011. 38.

<sup>93</sup> Paxton, Steve. „*Jumping Paradigms*.” In Contact Quarterly's Contact Improvisation Sourcebook, eds. Lisa Nelson and Nancy Stark Smith, 167. Northampton: Contact Editions. 1997.

– „jumping all over one another”, and remaining long after the end of the performance, often initiating interactions with the performers:

„They would really want to start rolling and jump on you; they would embrace you after the performance to congratulate you, but they’d hang on you, lean on you. I think that seeing how long it was possible to touch somebody and not come away was very infectious. There was something that really unified everybody.”<sup>94</sup>

There is an even stronger feeling of community between the dancers themselves as they heavily rely on each other in the duet encounters in which one or both partners jump and fall, using the body of the other person as leverage to direct the fall. Sometimes, one person climbs on another or gently guide a partner’s movement by lightly touching him or her. This form of movement would not be possible without such acknowledgement of the other, trust and confidence.

### **Hierarchy and egalitarianism in Contact Improvisation**

Paxton believed that this trust and the equality of the participants are tremendously important to achieve the dance’s liberating effect and if the hierarchical organization of power through the technical and organizational rules governing both dance and society were the problem, then perhaps by removing these restrictions one could find a freer type of movement and contact.<sup>95</sup> Due to President Nixon’s abuse of power and financial wrongdoings Americans came to think that presidents had become too strong and had acquired too much autonomy and authority. Watergate added fuel to cynicism about politicians and politics and the government as an instrument of collective good, which led to a growing distrust of American institutions and leaders.<sup>96</sup> Cynthia Novack argues in *Sharing the Dance: Contact Improvisation and American Culture* that contact improvisers, especially in the 1970’s viewed the form as an egalitarian communal activity, which rejected the idea of one leader and firm frames. According to Steve Paxton, working with the Judson Church group in the early 60s was his first experience in trying to create a dance situation which was „relatively nonhierarchical”<sup>97</sup>. In general Paxton observed, dance companies, whether they were classical, modern or post-modern, had practiced the same disciplinary techniques and reinforced the same hierarchical power relations as in society generally. „In ballet, the traditional courtly hierarchy continued. In modern dance (Graham, Limón) the same social form was used except

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<sup>94</sup> Novack 73.

<sup>95</sup> Turner, Robert. *Steve Paxton’s „Interior Techniques”: Contact Improvisation and Political Power*. The Drama Review 54:3. Fall 2010.

<sup>96</sup> Shulman 48.

<sup>97</sup> Novack 207.

magicians rather than monarchs held sway. Postmodern dancers (Cunningham, Marsicano) maintained alchemical dictatorships, turning ordinary materials into gold, but continuing to draw from classical and modern-classical sources of dance company organization.”<sup>98</sup>

Paxton believes that some people have special skills which might be called upon, but no one holds permanent control as a result of those skills. He desired unique and personalized forms of dance practice. His dissatisfaction with those hierarchical power relations above, in which directors and dancers reproduced impersonal dance practices motivated his experiments in contact, during his time at the Grand Union and after.

However Contact Improvisation has embraced values of individualism, equality and antihierarchical relationship, according to the theory of the anthropologist Louis Dumont<sup>99</sup> contradictions appeared between these values and the differences which developed as a result of social roles and social actions as well as in small communities and in society in big. The ideal of equality is unattainable, even if people think it superior. So the ideology of egalitarianism and spontaneity was challenged by the appearance of implicit hierarchy and overt planning. For those people who eventually became involved with Contact Improvisation on a professional basis, who taught or performed the dance as a means of living, a great deal was at stake in the organizational dynamics of the contact movement. The spate of local group organization which occurred from 1977 to 1979, as well as the increase in touring by individuals and by ad hoc groups, had the effect of promoting role distinctions within the movement.

What is particularly notable about the Contact Improvisation community during the late seventies is not that hierarchies and differences existed but that many participants were so conscious of them and disturbed by them. For example at the 1980 American Dance Guild conference, a discussion „Politics and Contact Improvisation”, focused on the problem of „elitism” and people felt strongly that the egalitarian aspects of the movement should be emphasized.<sup>100</sup>

## Conclusion

Most of the scholars who research the seventies believe that this was the era of malaise in American history and culture, a completely outrageous period, the decade in which the United States didn't seem to do anything right. According to David Frum „they were strange feverish years, the 1970's. They were a time of unease and despair, punctuated by disaster”.<sup>101</sup> I

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<sup>98</sup> Paxton, Steve. 1972. „The Grand Union.” TDR 16,3 (T55):128-134. 131.

<sup>99</sup> Dumont, Louis. 1966. *Homo Hierarchicus*. Chicago: University of Chicago Press. 20.

<sup>100</sup> Novack 208-209.

<sup>101</sup> Frum xxiii.



would not argue that this was a decade of immoral politics, bad economics and strange taste, however I believe and in this agree with Thomas Hine and his argument in *The Great Funk* that this was undoubtedly the period that served as foundation for many of the attitudes and values that define our society today. I also see the 1970's as the decade of experimentation – the years when ethnic minorities, women and homosexuals consciously take new identities -, bigger individuality – the 'Me Decade' and recovery beside the dark, depressing side and the confusion. I chose Contact Improvisation as the topic of my research because I truly think it is a perfect representation of the ambivalence of the seventies, a highly valuable product of the dark decade, a light at the end of the tunnel, a dance technique that could bring people together mentally and physically in the midst of alienation.

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Turner, Robert. *Steve Paxton's „Interior Techniques”: Contact Improvisation and Political Power*. The Drama Review 54:3. Fall 2010.

# CO-PARENTING FACTORS THAT CONTRIBUTE TO ACADEMIC SUCCESS

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## **Abstract**

This study assessed factors contributed from parents who live in two different households and that lead to academic success. Data were collected from undergraduates enrolled in a Midwestern satellite university. Academic success was defined by university enrollment, grade point average, and standardized testing scores. Co-parenting factors that were hypothesized to lead to academic success included the distance between parents homes (which further influenced time spent with the child, participation in child's activities, and participation in decision making) and financial stability (which also influenced participation in decision making and the level of conflict within the family). The original structural equation model revealed that the relationship linking the distance between homes and the time spent with the child was accurately described. Added to the model, after the Lagrange test, was a path from finances to participation in child's activities and time spent with the child. The financial stability of a family predicted the participation of the non-custodial parent in the child's activities, in the decision-making for the child, conflict, and the time spent with the child. Implications for practitioners who work with families with co-parenting responsibilities are discussed.

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**Keywords:** Co-parenting, divorce, academic success (3-5 words)

## **Introduction**

In the last fifty years, divorce and separation of cohabitating couples has become a common occurrence in Western culture (Blaisure & Geasler, 2000). Kreider and Simmons (2003) found that in 2000, 18.5% of the population of the United States, or 41 million people, were widowed,

divorced, or separated. Extant literature on divorce has demonstrated an increased risk of behavioral, psychological, and academic problems for children (e.g. Amato, 2000; 2010; Hetherington & Kelly, 2002; Kelly & Emory, 2003), and so it is important to understand positive factors that may contribute to the academic success and financial independence of these children.

## **I.**

### **Co-Parenting**

Co-parenting has been defined in the literature as how couples coordinate their efforts to raise their children (Margolin, Gordis, & John, 2001). Margolin et al. (2001) noted that much of the current research on co-parenting has focused on married couples, but that the co-parenting relationship differs from the marital relationship. Maccoby, Depner, and Mnookin (1990) defined co-parenting as how mother and father support or undermine one another in their mutual parenting roles. Co-parenting involves the division of parenting duties and the acknowledgement of the other parent's authority in those duties. Gable, Belsky, and Crnic (1995), as well as McHale (1995;1997), have found that significant components of co-parenting include amount of involvement by the two parents, joint problem solving on childrearing tasks, and the conveyance of unity between parents and children. Family therapy research has primarily focused on the definition of co-parenting that stemmed from family systems or structural theories. Minuchin (1985) viewed co-parenting as an extension of the marital relationship that involves transactions with a third individual, namely the child. According to Minuchin (1985) and von Bertalanffy (1968), the co-parenting relationship is a unique subsystem within the family in which the quality of the marital relationship interfaces with how mothers and fathers coordinate their efforts to deal with childrearing issues. Although researchers have found that co-parenting is related to the marital relationship and its quality (Gable et al., 1995; Floyd, Gilliom, & Costigan 1998), few have looked at co-parenting as society changes and the marital relationship is removed from the equation. Lindsey, Caldera, and Colwell (2005) stated that there is a deficit in our understanding of the factors that contribute to effective co-parenting.

Most of the research on co-parented children has focused on the negative impact of divorce. Increased stress, decreased academic performance, economic decline, and behavioral problems have all been identified in the divorce literature as negative consequences (Amato, 2001; Amato & Booth, 1996; Amato & Keith, 1991; Bolgar, Zweig-Frank, & Parish, 1995; Bronstein, Clauson, Stoll, & Abrams, 1993; Ellwood & Stolberg, 1993; Evans & Bloom, 1996; Hetherington, Bridges, & Insabella,

1998). Studies of the effects of divorce over time, as the children of divorce become adults, found similar negative effects (Buchanan, Maccoby, & Dornbusch, 1991; Cherlin et al., 1991; Millward, 1997). Amato and Keith (1991) conducted a meta-analysis that found across numerous studies that children, adolescents, and adults from divorced families and remarried families, in comparison with those from two-parent non-divorced homes, are at increased risk for developing problems in adjustment. They also found that, compared with adults from continuously married families of origin, those who experienced parental divorce as children had poorer psychological adjustment, lower socioeconomic attainment, and greater marital instability (Amato & Keith, 1991). Other research has shown that the quality of parenting declines during the years immediately following divorce as custodial parents struggle to manage the demands of single parenting (Emery, 1998; Hetherington, Cox, & Cox, 1982). Riina and McHale (2014) extended this view by noting the bidirectional nature of co-parenting, as well as the gender differences that may exist in the relationship and outcomes. Much of the differences noted by researchers focus on stress associated with marital disruption and can vary which effects the speed and degree of adjustment, depending on resources and the family situation (Amato, 2014).

Single parent homes also have been found to produce a risk for problems in adjustment (Amato, 1987; Emery, 1998; Funder, 1996; Hetherington et al., 1982; Parsons, 1990; Wallerstein & Kelly, 1980). Parsons (1990) conducted a study on Canadian children of single parents and found their educational and occupational achievement to be lower than children of two parent always-married families. Qualitative studies have shown that children raised by single mothers think positively about their fathers and wish for more frequent contact with them (Amato, 1987; Funder, 1996; Wallerstein & Kelly, 1980). Children's desires are clear, whether the parents are next door or across the world: children long to remain close to their parents. Belsky, Crnic, and Gable (1995) recognized the individual differences in patterns of co-parenting but suggested that the investigation of factors associated with the quality of co-parenting may assist clinicians and family practitioners who are interested in prevention of and intervention in perturbations of family functioning.

### **Predictors of Academic Success**

Several factors have been found to relate to the academic success of children parented from two homes. Studies on the prevalence of divorce among adults whose own parents divorced show a larger effect for those with lower educational attainment, earlier entry into marriage, earlier childbearing, lower income and lower socioeconomic well-being (Amato, 1993; Furstenberg & Teitler, 1994). McLanahan and Sandefur (1994) found

in their study of intergenerational effects of divorce that low income accounted for about half of the intergenerational transmission of divorce. Building on these findings, it is possible that academic success and higher educational attainment may raise one's income and socioeconomic status, and lessen the intergenerational transmission effect of divorce, especially as high academic achievement is becoming increasingly necessary to maintain competitiveness in today's economy as well (Ray, Bratton, & Brant, 2000). Parents may take into consideration what contributions they make that can keep their children on track to become competent adults with good career prospects.

*Distance.* The distance between parental homes is a contributing factor in the amount of parent participation with the children. Furstenberg (1988) suggested that geographic distance between fathers' and children's residences, which was considered a situational factor, was more influential in determining visitation patterns than was the co-parental relationship. Bowman and Ahrons (1985) found that fathers who had joint custody were significantly more involved in parenting and had greater contact with their children than were non-custodial fathers.

Physical presence is not the only way to ensure the well-being of children, but it does contribute to the payment of child support (Furstenberg, 1988). Today's technology has made it possible for those parents who are separated from their children by a great physical distance or time constraints to maintain frequent contact with them. E-mail, instant messenger services, cell phones, text messages, and even the advent of video communications have provided these parents with alternative methods of staying in close contact with their children. Both of these factors, distance and physical contact, have been recognized in the literature as contributing to the well-being of the child (Amato & Keith, 1991).

*Financial Stability.* Financial stability, assisted by the contribution of child support to ensure the needs of the child are met, is a known contributor to the well-being of children (Adam & Chase-Lansdale, 2002; Amato & Booth, 1996; Amato & Gilbreth, 1999; Arditto & Keith, 1993; Maccoby et al., 1990; Teachman, 1991; Wood & Repetti, 2004). Child support, or the money that the parent with less physical custody pays to ensure the needs of the child are met, must also be negotiated for the well-being of the children. Furstenberg and Cherlin (1991) and McLanahan and Sandefur (1994) pointed out the importance of increasing the number of child support payments made to single mothers, increasing the amount of that support, and enforcing awards strictly.

Thompson and Amato (1999) stated that society's recognition of the importance of this obligation to pay child support was "one of the themes of policy reform in the 1980s" (p. xvii), and added that "media images of the

‘deadbeat dad’ led to the Family Support Act of 1988, which strengthened enforcement procedures for the child support obligations of the non-custodial parents” (p. xvii). Amato and Gilbreth (1999) found in a meta-analysis of 63 studies that nonresident fathers’ payment of child support was positively associated with measures of children’s well-being.

According to Wallerstein and Huntington (1983), how often children get to see their father may have financial implications in terms of sharing parental responsibilities and economic support. The greater the father-child contact, the more likely the father will bear a greater financial responsibility (Arditti & Keith, 1993). Several studies (Furstenberg, Peterson, Nord, and Zill, 1983; Seltzer, Schaeffer, & Charng, 1989; Teachman, 1991) have found a positive relationship between child support payments and the frequency of contact with children. DementÉva (2003) found support for the view that the costs of children’s upbringing in a co-parented family are linked primarily to the impact of negative economic factors. This supports the view that parenting from two different homes usually adds a financial strain. Jenkins, Rasbash, and O’Connor (2003) state that single parenthood and family size are both family structural variables that would be expected to limit parenting resources and increase stress.

*Time.* In custody arrangements, a timesharing plan, or agreement on the amount of time the child spends with each parent, is typically worked out during divorce proceedings. Most parents create structure for the time they will spend with the child (usually referred to as residence or residential custody and visitation) and for decision-making (legal custody), allowing the family to build a new binuclear family structure and move on with its life tasks (Lebow, 2003). Amato, Kane, and James (2011) sum up the research on children’s adjustment by stating that adjustment is facilitated when both the nonresident and resident parents are cooperating in co-parenting relationships and are involved in their children’s lives. Thus, whether it is a divorce, separation, or parents that are never married, it is not the type of custody decision made that is important, but how the parents interact with each other and their children that is important.

*Decision-Making.* Decision-making, or legal custody, is a complicated issue in the research. Many parents may have been granted joint legal custody, but do not exercise that right to engage in the decision making process. Maccoby, Buchanan, Mnookin, and Dornbusch (1993) found that 40% of the nonresidential parents thought they were as involved with their child as the residential parent. The custodial parents disagreed, stating that on day-to-day decisions, they themselves made major and minor decisions alone, and sometimes they consulted the non-custodial parent after the fact. The continued participation of non-custodial or joint custody parents in major and minor decisions could enhance the closeness of the

parent-child relationship and lead to more positive outcomes for their children. Amato and Gilbreth (1999) found that feelings of closeness and authoritative parenting were positively associated with children's academic success and negatively associated with children's externalizing and internalizing problems.

*Conflict.* Disputes over distance, child support, time, and decision-making may lead to detriments to the well-being of children. There are several factors that negatively impact the children of separated parents; however, conflict between parents seems to be the most heavily supported predictor for these negative outcomes (Amato, Loomis, & Booth, 1995; Belsky et al., 1995; Kitzmann, 2000; Margolin et al., 2001; Wallerstein & Blakeslee, 2003). Dronkers (1999) and Richmond and Stocker (2003) examined children of families with marital conflict and found that children who experienced more marital conflict than their siblings had more adjustment problems than their siblings. McHale (1995) observed family interaction patterns and found that marital conflict is linked to hostile-competitive co-parenting. Pruett, Williams, Insabella, and Little (2003) used structural equation modeling to examine the relations among family dynamics, attorney involvement, and the adjustment of young children at the time of parental separation. They found that paternal involvement, the parent-child relationship, and attorney involvement mediated the amount of parental conflict experienced by the children. Bonach and Sales (2002) suggested that in order to attain the best outcomes for their children, parents need to get beyond the negative feelings, thoughts, and actions that affect their ability to co-parent effectively.

Since parents in conflict often do not come to compromises easily, clients often turn to attorneys, family court judges, arbiters, domestic relations mediators, parent coordinators, child custody evaluators, and family therapists to help settle these types of disputes. Whitworth, Capshaw, and Abell (2003) have investigated the effectiveness of court-endorsed divorce parenting programs that have emerged as a community-based effort to reduce the negative impact of divorce on children and their families. These third parties (who are asked to resolve disputes), as well as the parents, should know what factors would contribute to minimal negative and maximum positive effects in the children. Lebow (2003) suggests that therapists working with divorcing families in conflict need to develop skills to interface therapy with the judicial system.

### **Theoretical Framework**

There are many marriage and family therapy theories that support both parents being involved in child rearing. Family systems theory suggests that all members of the family exert an influence on each other, even after



the occurrence of a divorce (Ahrons, 1981; Kerr & Bowen, 1988). The family gets used to the present circumstances and does its best to maintain homeostasis. Negative and positive feedback loops in the family's interaction help to maintain the homeostasis (von Bertalanffy, 1968). Even the family's own attempts to find a solution may help to keep it in a dysfunctional state. This is why conflict may continue long after a divorce or separation.

Structural family therapy came about largely through the work of Salvador Minuchin, whose work tried to change the underlying structure of the families he saw in order to enable the families to solve their problems. The family structure was composed of the patterns of interacting, which governed the functioning of family members, and problems were maintained by the dysfunctional organization of the family (Minuchin & Fishman, 1981). When boundaries are crossed or the children are at the top of the hierarchy of the family, dysfunction occurs. Parents must remain in control together as equals for optimum parenting of children (Minuchin & Fishman, 1981). Maintaining the hierarchy or boundaries within the family structure and its subsystems would give the child something consistent while facing the uncertainty of having parents in two separate homes. Minuchin (1974) described co-parenting as the extent to which partners share leadership and support one another in their mutual roles as architects and heads of the family. The co-parenting structure is a subsystem within the larger family system whether the parents are married or unmarried.

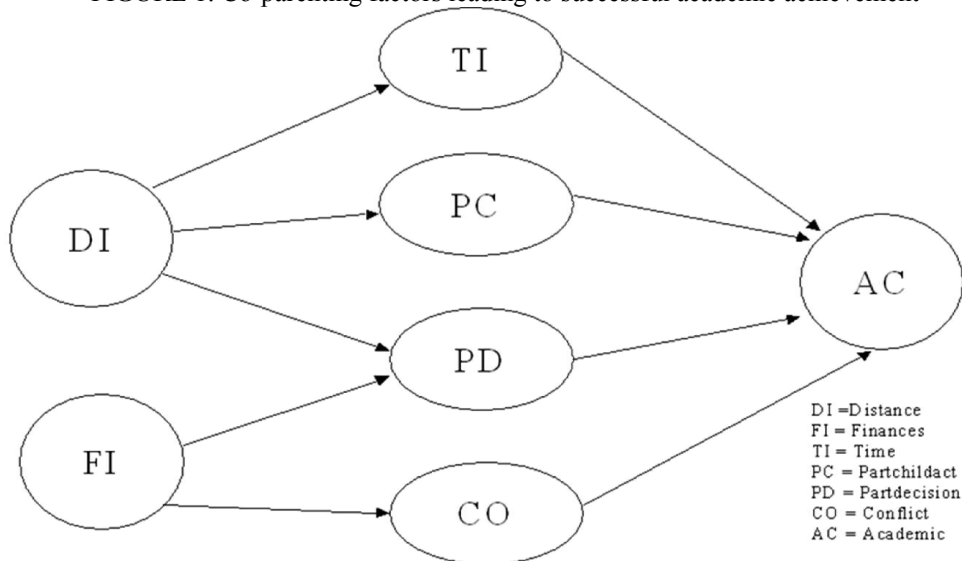
## **Hypotheses**

Ray et al. (2000) stated that the increasingly competitive nature of the employment market is requiring individuals to achieve a level of education beyond high school to meet the basic financial needs of their future families. This study identifies elements of the co-parenting relationship that relate to the academic success of co-parented children. For the purposes of this study, academic success is defined as the college students' self-reports of grade point average, standardized test scores, and the educational goals of the subjects.

Our overall prediction is that shared financial responsibility and shorter distance between the two biological parents will influence factors that will contribute to the academic success of the children. Figure 1 represents the model that will be used to test the hypotheses. Our first hypothesis is that parents whose homes are less physically distant from each other will (a) spend more time with their child as a result of this proximity, (b) participate more in their child's activities, (c) participate more in decisions about the child, and (d) report less conflict with their co-parent. Our second hypothesis is that parents who report greater financial stability will (a)

participate more in decisions about the child and (b) report less conflict with their co-parent. Our third hypothesis is that (a) spending more time with their child, (b) participating more in their child's activities, (c) participating more in decisions about the child, and (d) reporting less conflict with one's co-parent will predict greater academic success for the child.

FIGURE 1: Co-parenting factors leading to successful academic achievement



## Method

### Participants

For this study we recruited a sample of 145 undergraduate students taking a psychology class at a regional comprehensive primarily commuter Midwestern university. Participants' age ranged from 17-37 years old, with a mean of 21.7 years ( $SD=4.0$ ). The respondents identified themselves as 59.3% Caucasian, 25.5% African American, 13.1% Hispanic/Latino, 1.4% Native American/Alaskan Native, and 0.7% Asian.

Most participants came from lower-middle class working families in Northwest Indiana. Participants ranged from having \$0 income to \$120,000 in household income, with a median of \$50,111 ( $SD=31,336$ ). Of the respondents, 77% identified themselves as single, 10% as married, 10% as cohabitating/partnered, and 3% as divorced. Completed education ranged from high school to 4 years of college, with 24% having completed high school only, 24% having completed one year of college, 23% having completed 2 years of college, 18% having completed 3 years of college, and 6% having completed 4 years of college, and 3% having earned an associate's degree. Of the 145 respondents, 8% are trying to attain continuing education credits, 6% are trying to attain an associate's degree, 46% are trying to attain bachelor's degree, 31% are trying to attain their

master's degree, and 10% are trying to attain a Ed.D., Ph.D., PsyD., DMFT, or M.D.

The respondents ranged in age from pre-birth to 30 at the age of their parents' separation with a mean parental separation age of 8.3 ( $SD=6.2$ ). Most (65%) were age 10 or younger, 26% were ages 11-19, and 4% were 20 or older when their parents separated. When asked about their parents' marital status, 70% reported their parents had been married and then divorced, 18% reported their parents were never married, 6% reported their parents were married but separated, and 6% reported other causes of binuclear homes. Participants were asked if any other adult lived in the home; 55% reported someone else living in the home during their childhood. Of the respondents who did report that their home did include another adult, 24% lived with a stepparent in the home, 15% lived with a grandparent in the home, 8% lived with another (unrelated) person in the home, 6% lived with a relative in the home, and 1% lived with both a stepparent and grandparent in the home.

## Materials

The survey used was adapted from Spanier and Thompson (1984), which gathered information relating to individuals' adjustment to separation and divorce. Questions were modified from "Part 7: Children" in order to collect information pertaining specifically to non-custodial parents or those with joint custody arrangements. The model tested incorporated variables related to (a) the parent-child relationship (custody, contact, visitation), (b) economic factors (child support) (c) the co-parental relationship (relationship quality, agreement over child rearing), and (d) background information (education, age, distance from children).

*Distance.* The distance variable was measured with 4 items. Participants' self-report of the miles between their parents' homes measured actual distance in this survey. We also asked participants to give their perception of that distance; specifically, whether they felt that the distance between homes was very close or far apart on a 5 point scale (0 = very close to 4 = far apart). We also examined whether a parent had moved residences and, if so, whether that parental movement was closer to or farther away from the other parent. We computed scale scores for distance by taking the mean score on the 4 items. The higher the number, the greater the distance between homes.

*Financial Stability.* We used 5 items to measure financial stability. We asked participants how often their non-custodial parent paid child support on a 4 point scale (0 = never to 4 = always). We modified questions from Spanier and Thompson (1984) and asked if the non-custodial parent contributed financially to the child's extracurricular activities (0 = never to 4

= always). We also asked participants to give their perceptions of their custodial parents' concern over finances (e.g., did your custodial parent worry about money; 0 = never to 4 = always) and their own perception of the family's financial stability (0 = not sure to 4 = stable). The mean score on the 5 items was used to compute a score for financial stability (Cronbach's  $\alpha = .23$ )

*Time.* We measured time by the respondents' self-report of how often their non-custodial parent visited them as children or how often they visited the non-custodial parent (0 = never to 6 = daily). We modified these questions from Spanier and Thompson (1984) and asked participants their non-custodial parent's visitation schedule and if that schedule was regular on a 5 point scale with (4 = set schedule to 0 = none of the above schedules). We then asked participants about their perceptions of their non-custodial parent's involvement with them as children on a 5 point scale with (0 = don't remember involvement to 4 = very involved). Time was computed by summing these 3 items and taking the mean.

*Participation in Decision-Making.* We asked participants to state whether or not their non-custodial parent cooperated with the custodial parent in making decisions about the children using questions modified from Ahron's (1981) 10-item Quality of Coparental Communication Scale, composed of a 4-item conflict subscale and a 6-item mutual support subscale. All items have a 5-point Likert response scale ranging from (1) "never" to (5) "always." We also modified the Content of Coparental Interaction Scale (Ahrons, 1981) for use in this study. This scale assesses how often former partners communicate about parental and non-parental issues. For the purposes of this study, only the parenting issues scale was modified. Higher scores on the parenting issues scale mean that frequent discussions between former partners about their parenting have occurred.

*Participation in Child's Activities.* Several questions asked participants whether their non-custodial parent attended their activities (e.g., parent-teacher conferences, plays) or in some other fashion participated (e.g., helping to plan special events such as birthdays). We also included questions modified from Ahron's (1981) 10-item Quality of Coparental Communication Scale. All items have a 5-point Likert response scale ranging from (1) "never" to (5) "always."

*Conflict.* We measured conflict by asking participants questions directly about its presence (e.g., Did your parents argue about money?). We also modified questions from Ahron's (1981) 10-item Quality of Coparental Communication Scale, composed specifically from the 4-item conflict subscale. All items have a 5-point Likert response scale ranging from (1) "never" to (5) "always."

*Academic Success.* We measured academic success in multiple ways. First, we assessed progress in academics by asking for participants' self-reported grade point average. In addition, we asked for self-reports on standardized test scores. Lastly, the educational goals of the subjects were also examined.

## **Procedure**

We recruited participants by asking professors for permission to speak to their students in 200 level, or second year, psychology classes during the last 20 minutes of their class period. We asked students to participate in the survey if their biological or adopted parents did not live in the same house. We then asked participants to read a consent form and add their signature before completing the survey. We gave participants 15 minutes to complete the questionnaire, or if they preferred, they could return the questionnaire (in a provided envelope) at a more convenient time to the Behavioral Sciences Department. All participants completed the questionnaire within the allotted time.

## **Results**

### **Assumptions**

After the appropriate data screening, we found that no univariate or multivariate outliers were present ( $p \leq .001$ ). Using Mahalanobis distance, we identified no multivariate outliers. Of the completed 145 questionnaires, only 82 (57%) were fully completed with no missing data. We ran a missing values analysis to verify that the values were missing at random. Most of the missing data were from the variables that had multiple indicators, and were replaced using regression imputation to avoid problems in the statistical analysis. A matrix of scatterplots tested and confirmed the assumption of linearity. Using a matrix of correlations, we tested all pairs of variables for multicollinearity and found that none were multicollinear.

### **The Hypothesized Model**

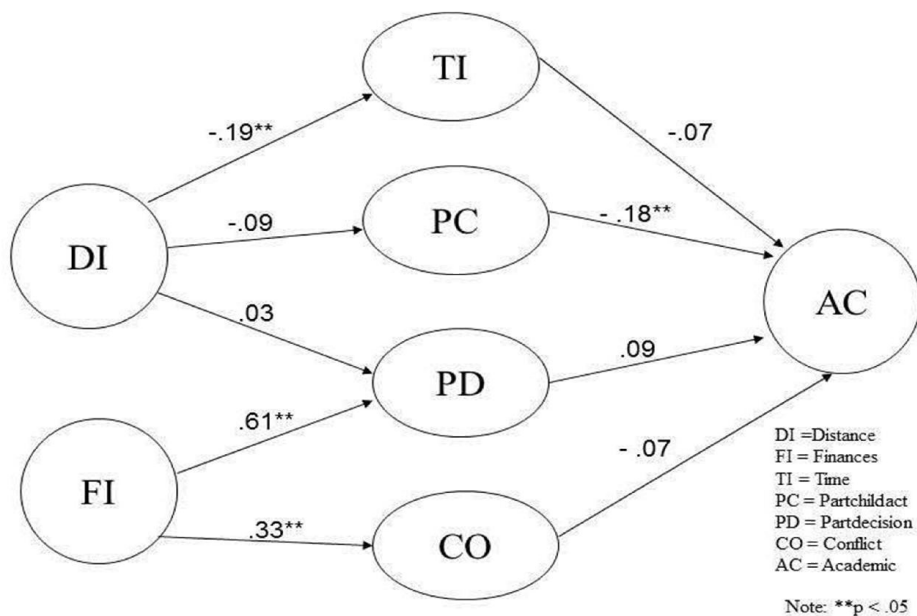
We tested the adequacy of the theoretical model in Figure 1 using structural equation modeling. We used two exogenous predictor variables to examine these relationships: distance between the parents' homes and the contribution of financial stability. We predicted that these two variables would influence four mediating variables: the time spent with the children, participation in the children's activities, participation in decision-making, and the amount of conflict within a co-parenting family. We predicted that these four variables would in turn predict the academic success of co-parented children. In addition, we allowed each of the four mediating variables (time spent with children, participation in children's activities,

participation in decision making, and conflict) to covary with each other, reflecting the similar measurement format and common source of many of those items.

### Test of the Structural Equation Model

To evaluate the model fit, we performed maximum likelihood estimation using EQS (Bentler, 2004). We rejected the independence model that tests the hypothesis that all variables were uncorrelated,  $\chi^2 (21, N = 145) = 361.3, p < .0001$ . We tested the hypothesized model, and found that it did not provide a good fit for the data,  $\chi^2 (5, N = 145) = 80.5, p < .001$ , comparative fit index (CFI) = .78, Bentler-Bonnet Normed Fit Index = .77, Bentler-Bonnet Non-Normed Fit Index = .07, Standardized RMR = .19, RMSEA = .32 (see Figure 2 for standardized path coefficients for this model). A chi-square difference test indicated a significant improvement in fit between the independence model and the hypothesized model,  $\Delta\chi^2 (16) = 241.9, p < .001$ . As hypothesized, distance between homes predicted time spent with the child in the model. Financial stability predicted both participation in decision-making and conflict. However, all other hypothesized relationships were not significant, and no variable significantly predicted academic success.

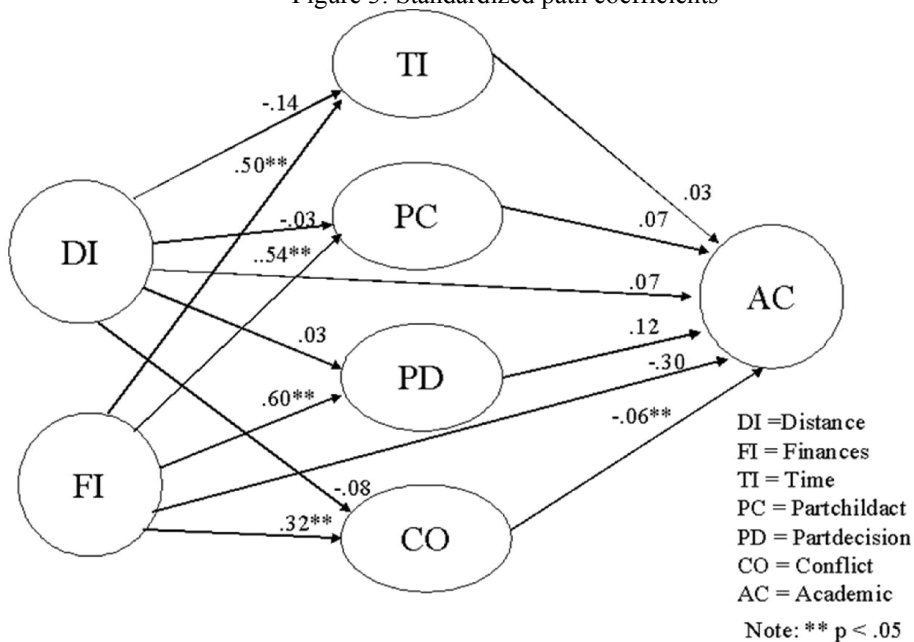
Figure 2: Standardized path coefficients for path analysis model



We performed post hoc model modifications in an attempt to develop a better fitting model to the data. On the basis of the Lagrange multiplier test, we added direct paths from Financial Stability to Time and Participation

in child's activities and to Academic Success. The resulting model was a very good fit to the data,  $\chi^2 (2, N = 145) = 2.4, p = .31$ , CFI = .999, Bentler-Bonnet Normed Fit Index = .993, Bentler-Bonnet Non-Normed Fit Index = .989, Standardized RMR = .035, RMSEA = .036. A chi-square difference test indicated that the model was significantly improved by the addition of these paths,  $\Delta\chi^2 (3) = 78.1, p < .001$ . Financial Stability was a significant predictor of academic success, distance was no longer a significant predictor of time spent with children, and the significance of all other parameters in the model remained unchanged. The final model including coefficients in standardized form is illustrated in Figure 3.

Figure 3: Standardized path coefficients



## Conclusion

### Structural equation model

Using the child's perspective on the parent subsystem, we found that the original model was not complex enough in describing the relationships between factors. Although the relationship between the distance between homes and the time spent with the child was accurately described in the original model, the relationships between distance and participation in the child's activities, participation in decision making, or conflict was not accurately predicted. Also in the models, financial stability was found to have a significant relationship with participation in decision making and conflict. This suggests that financial stability predicts how much the parents communicate with one another and whether that communication is positive

or negative. The model showed that the greater the financial stability the lower the conflict. This is consistent with Maccoby (1990, as cited in Thompson & Amato, 1999) who stated that joint custody is better if the parents cooperate but worse if they cannot. For highly conflictual families, increasing distance may be the only way to decrease the amount of conflict. This finding is also consistent with Pruett et al. (2003) who found conflict to be mediated by parental involvement. This supports the systemic family theory that all family members continue to influence one another (Kerr & Bowen, 1988) and that conflict may continue after separation.

Also added to the model, per the suggestion of the Lagrange test, was a path from finances to participation in child's activities and time spent with the child. The financial stability of a family predicted the participation of the non-custodial parent in the child's activities, in the decision-making for the child, conflict, and the time spent with the child. This finding is consistent with that of many other studies (Adam & Chase-Lansdale, 2002; Amato & Booth, 1996; Amato & Gilbreth, 1999; Arditti & Keith, 1993; Maccoby et al., 1990; Teachman, 1991; Wood & Repetti, 2004). It is not surprising that financial obligations, the only factor that family courts across this country consistently enforce, is so influential, compared to all the other factors in this study, in predicting academic success.

## **Limitations**

The sample in this study was derived from a university in Northwest Indiana. The convenience sample was not necessarily representative of the general population, and the sample size was relatively small ( $n = 145$ ), at least for applications of structural equation modeling. Caucasian and single students, and students still living with their parents were over-represented; married, African American, Hispanic, Native American, and Asian populations were underrepresented. The genders of the participants in the study were not collected. This omission leaves important questions unanswered. For instance, female participants may have reported different perceptions on the amount of time or participation with their non-custodial parent, which was often the father in our population. Further, the ages and gender of siblings were not collected. This omission also leads to unanswered questions as to whether having an older sibling may mediate the absence of a parent. Further research might examine the impact of such factors on the academic success of co-parented children.

Participants were asked to comment on their perceptions or recollections of their parents' interactions; however, participants' memories of their parent's relationship may not have been as accurate as asking the parents directly, and thus using prospective studies may be more fruitful in resolving this problem. The value of the collected data is subject to the



accuracy and honesty of the participants' answers to survey questions. Further, social desirability may have influenced the measures of academic success, participation in child's activities, participation in decision-making, time spent with the child, financial stability, and distance. In addition, there was no discussion of resiliency variables.

Finally, the final model was based upon post hoc model modifications. Although it revealed several important connections among variables, those connections were not specified *a priori*, and thus need to be replicated in a subsequent sample, lest they reflect capitalization on chance in the present sample.

### **Implications**

Our contribution to the literature on co-parenting factors can be useful in the formation of interventions for these families as they struggle to restructure in a functional way. The findings from this study are consistent with earlier studies that have explored the factors that positively influence academic success in children of divorce. Implications from this study are organized around the role identity of the client, divorced parent or child of divorce, and institutional-level change.

### **Divorced parent as client**

It is important for clinicians to recognize that financial stability consistently proves to be one of the strongest predictors of positive outcomes for children of divorce; however, it is also one of the most difficult factors to influence. This suggests that clinicians can share this finding with clients and emphasize the importance of financial security and its long-term benefits for children as well as for the client, in general. Areas in which clinicians might successfully focus include helping the client develop strong communication skills; this may enable better negotiation with the former spouse as well as enhance the relationship between parent and child. By encouraging the client to recognize the relationship between family-based conflicts and academic performance, the clients are being empowered to positively and actively influence their children's success. During a divorce, the dyadic relationship between parents frequently overshadows any attention needed within the parent-child relationship. Encouraging parents to re-focus on their children might be more effective through the sharing of research findings and child outcome such as those presented here.

### **Child of divorce as client**

When working with children, it is important to provide them with a sense of safety and security as this is often missing in their home lives shortly after a marriage dissolves. By providing an atmosphere of openness,

they will be better able to discuss any negative feelings or fears they might have in relation to their parents' divorce.

### **Institutional-level change**

Although the judicial system is now championing the effort to minimize the negative effects of children from binuclear homes through the use mandatory child support, this study suggests that more can be done to positively influence these children. The parenting alliance, and all the responsibilities that parenting entails, could also be supported by the court system through better parenting or co-parenting classes as well as through mediation. Parents, judges, child advocates, and therapists could routinely assess the factors discussed in this study. Key for these all parties is the decrease in conflict because of its negative correlation with academic success. Minimizing the conflict within the co-parental system should be addressed, and rules of negotiation (or a plan for dealing with differences of opinion between parents) should be integrated into divorce proceedings, custody hearings, mediations, or early in the therapy process.

Based on these findings, the ideal structure is a co-parenting structure that is financially stable and has minimal conflict. The knowledge of factors that would contribute to the well-being and future success of co-parented children, could guide this restructuring. Margolin et al. (2001) suggested that "even highly conflictual spouses generally tend to understand the importance of promoting their child's welfare, an intervention that focuses on co-parenting may be acceptable to spouses who are not willing to undergo other types of therapy" (p. 17).

In summary, it is clear that the effects of a poorly negotiated divorce can have negative repercussions throughout the life of a child. Using the findings from this study, clinicians can be better suited to assist parents and children as well as advocate for organized change in the formal systems in which divorce is handled.

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# DISPLAYS OF THE SENSE OF THE HUMOUR IN PSYCHOLOGICAL DEFENCE SYSTEM

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## Abstract

The paper studies the specific features of humour, its displays, as well as a psychological protection as functioning of a defined psychohygienic factor for improvement of self-feeling, as a personality's stabilization system. Adaptive human behaviour is described. Four humour styles – affiliative, self-enhancing, aggressive and disparaging, self-defeating style of humour – are updated.

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**Keywords:** Sense of the humour, types of the humour, psychological defence mechanisms.

## Introduction

In the public's mind there is a perception of humour as a sign psychological health condition. There is a perception that people with a good sense of humour withstand difficulties and keep a lively spirit, even when faced with insurmountable obstacles.

## I.

### Aim of the research

1. To study socially psychological aspects of humour with regard to the personality's psychological defence mechanisms.
2. To study the factors and aspects creating the phenomenon of humour.

**Research methods:** Analysis of theoretical literature and sources, survey.

In order to survive and enjoy the life the person needs not only the physical, but also the psychic conditions. He must keep some mental balance, in order to maintain the ability to carry out his functions. Everything that contributes to a psychological comfort, is just as important as all what is serving to a physical comfort. The very first vital interest is to maintain the own coordinate system and values orientation. It determines the ability to act, and to be aware about yourself as a personality (Fromm, 1994).

In psychological studies the humour is evaluated as a guarding mechanism or in modern terms - as a stress management strategy, which is similar to a positive reevaluation, when the situation is not under direct person's control (Lazarus & Folkman, 1984).

K. Horney has studied human behaviour cultural determinants, the social aspects of human life and the nature of the mutual relations between individuals. K. Horney believes that the internal conflicts of personality are to some extent determined by the society in which you live. She sees congenital anxiety as the bases of a human nature. The sense of anxiety becomes internal capacity of mental activity. What a person does - it is a transformation of anxiety. It is the main motivation for his actions.

K. Horney indicates that people are driven by two trends: striving for security and striving for satisfaction of own wishes. Both of these types of efforts are often contradictory and then neurotic conflict arises, which he tries to suppress, developing certain types of behaviour – „strategies” (Horney, 1942). In order to achieve the aim in a particular situation, in order to meet some need, a person acts. But sometimes his action, activity faces hindrances.

When the hindrances arise on the persons way, when the set goal cannot be reached, then the tension accumulates in the body. It becomes apparent on two levels: in behaviour and organic level. Humour reduces the stress, it makes it easier to endure the humiliation, reduces sense of awkwardness, helps mentally to deal with the pain and suffering. The humour in the right time and the right place helps to the vast majority of people in difficult circumstances, even facing severe suffering.

If the strain has arisen in person as a result of external (frustration) or internal (psychological conflict) barriers, and if discharge occurs through adaptive behaviour, then it is a positive reaction. A negative reaction is, if we are talking about non-adaptive behaviour or simple discharge, whose sole purpose is to remove tensions. Tensions may also find their way out through psychosomatic forms.

Discharge may occur in different forms:

1. Aggressive reactions – not every aggressive reaction is negative. They can even be efficient for reaching a specific purpose. Aggressive behaviour is negative if it changes the aggression subject, namely, when the object of aggression is not a cause of frustration. In this case aggressive behaviour is directed towards the so-called scapegoat – irrespective of whether it is a person or object. For example, if the father has not succeeded in work, he quarrels his child in the evening.

2. Extrapunitive reactions – these are aggressive reactions directed to objects or strangers, which we treat like they were the causes of frustration. For example, deliberately smash a vase, „skipping bile” on the bus, beating



the fist at the table. It is accompanied with emotions – anger, fury, irritability, indignation.

3. Intrapunitive reactions – subject in the contrary, may acknowledge that he himself is a cause of frustration. Then his aggressiveness is accompanied with shame, compunction, sense of guilt.

There is a universal source, that causes all of the problems for our body and life. It consists of four components: anger, guilt, fear, criticism of others (Lika, 1996).

Fear usually mobilises either an attack response or tendency to flee. One uses escape, evasion, when searching for an exit, to „save own face”. If the circumstances are so unfavourable, that is not possible to avoid the shame or a crisis, the most likely response is an attack. It should be taken into account that the escape (evasive) reaction depends on two factors:

- 1) the intensity of the threat;
- 2) the subject's physical and mental endurance, from his self-confidence.

Psychological protection functions as particular psychohygienic factor that hinders the emergence of serious psychiatric disorders.

Z.Freud defines psychological protection as a set of unconscious mental processes, which are called to protect ME from the threat of the reality (as a rule – in childhood). Any mental process or operation (work, humour, game, etc.), as well as special protection mechanisms may be used for protection (Freud, 1989).

In the theory of the personality's psychoanalytic orientation defenses are treated as specific psychological forms of protection established by ME forces.

Protection mechanisms not only sustain human dignity, but help him to cope with life's difficulties. Individual is not aware of them, and does not choose. They are typical for almost everybody in a certain level, and a serious problem arises if the person does not have an opportunity to adequately assess the reality. In situations where the intensity of needs is growing, but there are no conditions to meet them, the behavior is regulated by the psychological defence mechanisms. They help individual to avoid tensions, accompanied with conflicts between consciousness and unconsciousness. These mechanisms transform, restrain or completely banish from consciousness the information which is in contradiction with the EGO (I) requirements (R. Granovska, 1988; Freud, 1989).

Protection mechanisms maintain and protect human dignity, and with the help of it a person more or less successfully resolves the various conflict situations, arising from interaction with the outside world. More successfully an individual deals with the situation that causes frustration, the sooner improves his emotional and physical self-feeling.

Psychological defence mechanisms as a specific personality stabilisation system is analysed by psychologist R. Granovska. She finds that psychological protection is one of the displays of the interaction of the individual and the surrounding environment in situations, when the possible or indeed unsuccessful operation is connected with the requirement for experience of own personality wholesomeness. This special mental activity materializes in specific information processing form, which can protect the personality from the tormenting shame experience and loss of dignity in motivated conflict conditions. The psychological protection is apparent in individual's trend to keep the familiar thinking about himself, to reduce dissonance, rejecting or misrepresenting information, which the person assesses as harmful and that destroys the original picture of himself and others. (Грановская, 1988).

Psychological defence mechanism is connected with conscious or unconscious reorganization of the value system components, as well as with changes in all personality's value hierarchy changes, to prevent the psychologically traumatic moments. Psychological protection functions are contradictory, in that aspect, that performing individual's adaptation to his inner world and psychological situation, they (functions) may worsen adaptation to the social environment. For example, the lowering of attachment level after the failure can be seen as a defence mechanism that protects against the bitterness after next failure, but at the same time also reduces the likelihood of victory.

The aim of psychological defence is one – resistance to unpleasant feelings, emotions, experiences, and reduction of anxiety and tension.

Psychological protection types: denial, humour, creation of reaction, conflicting feelings, repression, rationalisation, identification with the aggressor, the ascetism, affect isolation, regression, disintegration, projection, introjection, omnipotence, devaluation, primitive idealization, identification with a false image, move, sublimation, avoidance, marginalisation, alienation, compensation, exclusion. These safeguard mechanisms are treated as an integral part of the individual. They determine development of the individual in quite important aspects. If the safeguard mechanisms for some reason do not fulfil their function, it may contribute to creation of mental disorders. Performance of these mechanisms has been found both in adults and children (Lika, 1996).

In the context of stress research, humour is described as a behaviour, that in playful form unexpectedly changes the meaning of some object, event, or situation, creating amusement. Sense of humour characterises the ability of human to see sudden alternative meanings of what is happening, to assess the ongoing situation as less threatening and to change the emotional

background from serious to playful, thus experiencing amusement (Stokenberga, 2010).

The concept *humour* is used in a wide range of situations and it has multiple meanings. It may be as characteristics associated with funny and silly, as well as with the mental state, when a person faces, discloses, understands something laughable and funny, and a comic occurrence that has occurred to entertain (10).

The foreign word **humour** is generally connected with the words: jokes, quizing, tricks, wit, fun, laughing, fooling around, teasing, bullying, derision. It is difficult to avoid foreign words, describing variety of humour: satire, irony, comedy, sketch, the comic, caricature, parody, hyperbole, anecdote.

Talking about the interaction of the humour's logical construction and emotional dynamics, you can say: incompatible content situation occurs or a merger of ideas in the human mind, then there is a sudden change from one - the expected situation to another - unexpected, causing a rapid decline of concern, that expresses in spontaneous laughter, because 'energy and tension are looking for a way out.

For example, *"uncle, what are you doing there?"*

- *I, Johnny, put manure on strawberries.*

- *But we at home always put whipped cream on strawberries instead.*

Humour can be: offensive weapon (mock), the means for establishment of contact or delivering contact information (joke, humorous sketch, topical satire, the tool for teaching the moral standards (proverbs and sayings), an original tool for hiding one's attitude, point of view, in situations where it is necessary (jokes, returning a joke, changing the subject) (Drozd, 2012). J.Sobolevski (2014), describing the humour, indicates that one of the brain mechanisms for survival is the ability to quickly identify dangerous situations, activating a survival response. Humour is an emotional experience of paradox.

While A.Clarke (2014) has concretized a universal formula of joke, indicating that the satisfaction with good joke is  $H = M \cdot S$ .

H means the level of satisfaction with good joke, M – the level of false information in joke (misinformation), but S — the listener's ability to take something seriously (seriousness). A.Clarke (2014) indicates that the ability to joke is a complex mechanism of human evolution, whose task is quick analysis of the heard information, identification of the truth and fiction in it.

R.A. Martin (9) substantiates, that in the daily life the humour has two functions: improvement of mutual relationship between people, for example, with the help of a joke it is possible to successfully resolve the conflict; to reduce stress, i.e., it is possible to laugh at danger. In both

situations, the humour can be used in both constructive and non-constructive manner. For example, *Maths teacher, indignant, quite long time and thoroughly tells how she vigorously pranced along a blackboard, then her heel slipped and ... well, you know ... One of her colleagues interferes in the bad-luck story, lively asking: „Oh, then you managed to retrieve the square root, did you?“*

Besides, as indicated by the R.A. Martin (9), humour displays of the men and women are different. For example, men tend to joke about the power and aggression, while women often use humour to form close relationships with other people.

R.A. Martin identified four styles of humour by which to judge about the human's mental state:

1. Affiliative style, which expresses as the individual's aspiration to be in the society of the other people. This humour style expression is ironic jokes.

2. Self-enhancing style, who does not heart anybody, bases on talking big, kind of protection, raising of individual self-esteem. For example, *the hedgehog sits on the stump and meditates: - I am strong, very strong. Bear goes by and blows the hedgehog from the strain. Again on the next day hedgehog is meditating: I am strong, very strong but lightweight.*

3. Aggressive style, that is expressed as sarcasm, irritating remments, mocking. It may be dangerous for people nearby.

For example, *patient prior to surgery: doctor, surely will I live?*  
*- will live, will live... Only thing, will you want it...*

4. Self-defeating style: humour user tries to touch with every joke, it can offend human self-esteem. For example, *How is called a blonde with collored hair? - Artificial Intellect.*

Aggression becomes humorous at the following conditions:

- 1) an object of aggression is not hurt too deep;
- 2) there is a social / situational reason for laughter;
- 3) the object is hated and despised;
- 4) there is also the revenge aspect;
- 5) the object is not from the same category as the aggressor and / or audience.

It is crucial on a daily basis, if a person can create alternatives, interpretations that decrease the threatening in ongoing situation, namely, if person is able himself to see something funny in an ongoing situation (Stokenberga, 2010).

Wit is based on the ability to see the hidden connection between unrelated things or bring it, giving the sense to something seemingly senseless (Freud, 1974). Freud also notes that any wit is based on the pursuit for comfort. It also is characterised by comism displays (word games and

thinking errors that cause fun), which is connected with amusement of watching the various situations, which suddenly turn otherwise than previously anticipated. In this case, the mismatch between our previous forecast

About what is going to happen and the real events, therefore the accumulated mental energy surplus drains in the laughter, the fun is not so much due to the content as because of the unexpected outcome (4).

Wit often serve for offload of either sexual or aggressive impulses, satisfying the bent in a socially acceptable manner and reducing the caused tensions (Stokenberga, 2010). Humour, which serves for running down others, mockery or self-humiliation, can have a negative effect on the emotional well-being, compared with a good-natured making fun or self-ironical view on life.

The humour is stimulus phenomenon that causes laughter, while the laughter is a phenomenon of answer. Linking humour with a message, it is possible to attract larger listeners attention, improve the level of remembering, what was said, to make thinking, ability to reason more efficient, as well as to boost creative thinking. The humour was not appreciated in the olden days, and there was a belief that humour is bad and even degrading quality, that shows low level of education and culture. But nowadays a good sense of humour is considered very positive traits, and some survey even revealed that people do not want to admit that they have a bad sense of humour (Chapman, A.J., Foot, H.C., 1996).

A joke said in the right time can dispel the tension, but a person who has a fine sense of humour, easy will conquer the sympathy of others. While a joke told on inappropriate moment, can not only cause dislike of the narrative, but even make the person an object of others laughter.

None of us is born with a sense of humour, it is the brain ability to perceive, bond and experience the situation and decide whether this situation is funny. Sense of humour is an intellectual phenomenon, it is a person's ability and awareness to see things funny or to express something in funny way, while laughing is one way to show our sense of humour. The humour is the cause and effect of laughter, which causes physiological and biochemical changes in the body. People use physical laughter, which helps to avoid depression and modesty.

Satire is verbal caricature, which deliberately shows people or society mutilated. For simplicity odd qualities are discarded, bearing only the most relevant. The reader sees the familiar in absurd and the absurd in familiar. Without this dual view the satire lacked the sense of humour. Satirist sometimes use also the other way - show the weaknesses of society, comparing it with the animals life. Satire is based on the justified anger or outrage about unfairness or unacceptable behaviour. The best weapon of

satirist is irony – like talking with his opponent's mouth, he shows how his idea is absurd. The irony is a form of expression of anger. Black humour is irony and sarcasm in its essence. Irony and sarcasm is an expression of passive aggression. For example,

*During the lesson Johnny enters the classroom with his head bandaged.*

*Mad teacher asks:*

*-and ... what happened this time?*

*I fell down from the fifth floor.*

*And what, did you really fly whole two hours?*

In order to find out the people view about the humour, the survey was carried out electronically at [www.visidati.lv](http://www.visidati.lv) „Sense of humour”. The survey results were used in aggregated form only. Each respondent responses were not analysed separately.

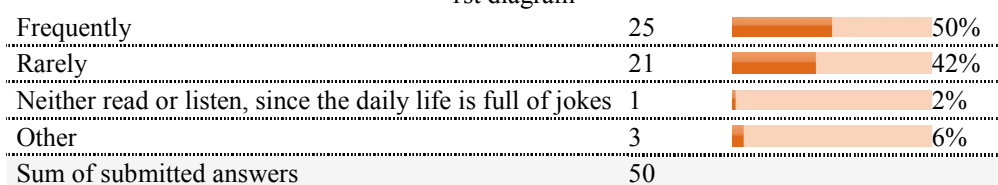
The answers were obtained by summing up all of the answers to the specific question. The percentage value of each reply was obtained by dividing the number of times each answer was given with the total amount of the given answers.

Respondents' statistics: Number of respondents: 50, 6 of them male and 44 female. Average age of respondents – 36,5 years.

Summary of results:

1. Do you read/hear jokes on mass media? (multiple responses possible)

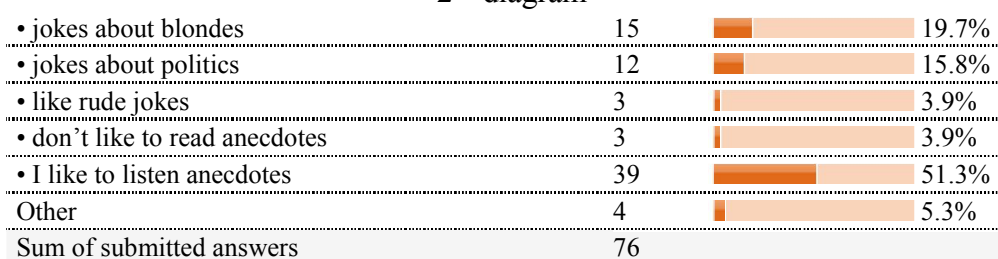
1st diagram



- Other answers: Read unregularly; sometimes; yes, listen.

2. Do you like anecdotes? (multiple responses possible)

2<sup>nd</sup> diagram



Other answers:

- Life situations create anecdotes;
- Like to tell anecdotes;
- Like the humour show "Krivoje zerkalo";

- About kids, animals, nationalities, relationships.
3. Do you painfully experience own failure situations in work or private life?

3<sup>rd</sup> diagram

Yes	34		68%
No	8		16%
Other	8		16%
Sum of submitted answers	50		

- Other answers: Depends on situation. On next day I forget my previous day's failures; sometimes (6); I try to analyse them and to stand accross.

4. Are you often wistful?


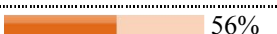




4<sup>th</sup> diagram

Yes	11		22%
No	32		64%
Other	7		14%
Sum of submitted answers	50		

- Other answers: time to time (6); when I am tired.

5. Do you answer on other persons "sharpness" with sarcasm?





5<sup>th</sup> diagram

Always	2		4%
Sometimes	28		56%
Yes	4		8%
No	8		16%
• I get confused in such situations and keep silent	7		14%
Other	1		2%
Sum of submitted answers	50		

Other answers: I look, what kind of person is ahead me.

6. Can you overcome other people with a verbal wit?

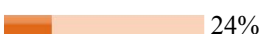


6<sup>th</sup> diagram

Yes	16		32%
No	8		16%
Haven't thought about it	20		40%
Other	6		12%
Sum of submitted answers	50		

- Other answers: sometimes (5); sometimes, depends on mood.

7. Will you be sad, if someone says you do not have a sence of humour?

7<sup>th</sup> diagram

Yes	12		24%
No	34		68%
Other	4		8%
Sum of submitted answers	50		

Other answers:

- I know very well, that I have it;
- Will become angry;
- It depends, who says it (2).

## Conclusion

Choosing the problems and the ways of solving them under psychological pressure or as a result of own free will, the person is in a social and cultural interaction with other people, making progress in reaching the set objectives and suffering losses. Contact and interaction with other people in action of life, basing on analysis of the positive and negative results, as well as on the acquired experience reflection, you can change the individual image and to reduce the psychological protection.

Humour provides physical and emotional benefits. Good humour can improve the quality of individual's life. A better understanding of humour can help to overcome the stress and physical pain and inspire to use it in solving everyday situations.

Personality development theory addresses the following sources of conflicts, which result in excitement and need for protection: counteracting forces; an inferiority complex, which is contrary to the urge for perfection; incompatible needs at the same time, which encourage individuals to strive for other people and desire to be independent of them, complex interpersonal relationships; the contradictions that arise in personal identity development process.

Psychological safeguard mechanisms, including humour, act as a kind of negative experiences filter. Up to a certain limit psychological prevention ensures protection of individual from worry.

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# PRESENT AND FUTURE: INDIVIDUALS AND HOUSEHOLDS IN A SOUTHERN ITALIAN CITY

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## Abstract

The link between social and demographic phenomena concerning a population of a given territory is the representative essence of every social organism. Effectively, it is not difficult to understand why in complex societies like ours we need to get as much information as possible, which has become essential in order to make the decisions that will influence future choices. The aim of this survey is to carry out population projections of the city of Bari, by sex and age, in order to know the future demographic scenarios of Bari population and the household ones resulting from them. Concerning this, *two possible scenarios* will be shown. The *first one* by hypothesizing constant mortality and fecundity with migrations equal to zero. Obviously that means straining the reality, but it is really useful in order to evaluate the future evolution of the population due to the action of the sole natural components. The *second one*, by hypothesizing constant migrations throughout the observation period, has an effective role when we analyze the effects of migratory drift on the evolution dynamics of the population analysed in this survey.

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**Keywords:** Bari, household, migratory drift

## Introduction

The changes observed in the last decades concerning the history of households cannot prescind from the structural analysis of population and, therefore, of the reference individuals. As far as society is concerned, household's active mediation is realized towards all the individuals belonging to it, because, regardless of the different evolution theories concerning it, it is and will always be the relational net that mediate between single individuals and the community they belong to. Presently, as ever, household is the first space here everybody's life begins. In other words, it will always be a relational asset for single individuals and for society, thus becoming more and more a primary social capital (P. Donati 2003).

Nowadays, household is considered as a product of the global public system inside which we can see the realization and fusion of common and gender hierarchies, and the practices concerning marriage, household, filiation, property, hereditary transmission, as well as conjugal and intergenerational solidarity. With this outlook, the appearance of social life new rules involves the diversification of the household forms and the establishment of fresh configurations, instead of the convergence on a sole model.

The existing statistical data confirm all over the world the increasing diffusion of “new” household forms (unipersonal, nuclear and single-parent ones) with the consequent “contraction” of the household – or more exactly of its household image – into its sole basic components (father-mother-children).

Through the concept of *development cycle in domestic groups* (J. Goody, 1958; L. Berkner, 1972) scholars started their attempt to show how the structural simplification is not due to a simple historical evolution but to a complex relationship of cultural, social and parental variables which transforms the household according to the different “historical times” that it goes through. Therefore, they gave up the echo of the researches that had originated and established the commonly accepted idea of a historical evolution from complex domestic groups towards smaller and smaller and structurally simple domestic groups.

As for Italy, the social-demographic evolution in the last five decades has brought about a progressive decrease of large households and above all of complex and multiple households, i.e. those households that, besides the father-mother-children central nucleus, host also other kindred figures or even other secondary nuclei. However, such a process occurred and still occurs with non-uniform modalities in the various regional/territorial realities which are marked not only by the different ways and rhythms of the social and economic change but also by the historically determined differences of the starting household systems.

In this survey we want to give, through a basically demographic perspective, the future dynamics of Bari population, studied by sex and age, and the household scenarios that would result from them. As far as this research is concerned, we have used not only the *Istat* data but also those which were purposely taken from the General Registry Office of Bari concerning the year 2014 and contained in its computerized archives<sup>102</sup>.

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<sup>102</sup> The computerized archives keep information about the resident population at a certain moment. Dead and emigrated people are not included.

## **The future population scenarios of the city of Bari**

The analysis of the population's future evolutive and structural characteristics of the city of Bari has been limited within a lapse of time included between 1<sup>st</sup> January 2014 and 1<sup>st</sup> January 2028. They are short-term realizable scenarios and we think they can be the most dependable.

Concerning this, *two possible scenarios* will be shown. The *first one* by hypothesizing constant mortality and fecundity with migrations equal to zero. Obviously that means straining the reality, but it is really useful in order to evaluate the future evolution of the population due to the action of the sole natural components. The *second one*, by hypothesizing constant migrations throughout the observation period, in order to evaluate the effects of migratory drift on the evolution dynamics of the city of Bari.

The method used to set up the two scenarios is the well-known *cohort component model*. The basic population used to analyse the future trend has been the Istat one, calculated on 1<sup>st</sup> January 2014 and divided by sex and every year of the inhabitants' age.

We need to stress that the methodological approaches used for the forecast scenarios presentation of this survey do not have to be considered the only possible ones to be used, because *the logical and operational processes must be used according to the statistical-environmental context in which forecasts must be made*.

## **Used estimations**

To evaluate the population's possible future trends of the city of Bari we have estimated the present levels of both the natural components and the migratory movement that are valid for the whole observation period. As far as **survivorship** is concerned, the City Hall's life tables of both sexes were not available; we have therefore determined the estimation of Bari population's survival level. Actually, according to the national statistical plan, the only available life tables having territorial details do not go further the provincial level. We used the *scaling factor* method (V. Terra Abrami 1998). By applying the dimensioning-resizing coefficient to the mortality parameters contained in the complete life table of Bari province, calculated by Istat on the basis of the year 2012, we get the Bari population's specific projective survival probabilities, useful for the population projective calculation. This method, identical for both sexes, has been applied separately to both the complete male life table and the complete female one of Bari province.

As far as **fecundity** is concerned, also in this case we took account of the fecundity trend concerning the superior hierarchical-territorial level. In short, we have directly estimated the city of Bari's specific fecundity rates by age for the year 2013 through the province fecundity tables of 2012,

always using the *scaling factor* method. By applying the resizing factor to the series of specific fecundity rates, by every year of the mother's age in Bari province, we get the same series for the city.

As regards the hypotheses about migratory movements, as this is a variable more subject to sudden variations concerning fecundity and mortality, and in order to guarantee a stable estimation of the phenomenon by using the registry office data about registrations and cancellations concerning both sexes registered in Bari City Hall during the 2009-2013 quinquennium, we have estimated, through the extrapolation of the existing trends, the net migration for the following quinquennium (2014-2018). Once the future net migration has been determined, we have divided it on the basis of the percentage composition, by sex and age, of the net migration registered in Bari City Hall in 2013 and kept constant for the whole projection period.

### **Projection “closed” to the migratory movements. Main results.**

Let us examine now the population's future evolutive and structural characteristics of the city of Bari, supposing the natural and migratory components stabilization during the observation period.

Table 1 shows the population of the city of Bari by large age groups in January 2014 and the projected one, realized by comparing the scenario “denied” to migrations and the one “open” to migratory drift and the main structure indexes.

The first analysed scenario has been hypothesized as “closed” to migratory movements, which is a little realistic hypothesis but useful to understand the intrinsic “force” of the population net of the structural modifications caused by the migratory flows.

Disregarding migrations and considering only the natural component, for the future analysis of the city of Bari's population we can see that the population will trend downwards. It will pass from 322,751 inhabitants in 1<sup>st</sup> January 2014 to 304,139 inhabitants in 2028 (-5.8%) with a negative annual mean variation rate of 3.96‰<sup>103</sup>. Analysing the large age groups what is evident is a decrease of the infantile and juvenile classes. Actually, the population between 0 and 19 years old in 2014 represented 17.63% of the total population, while in 2028 their amount will decrease to 15.42%, in view of the over-sixty-fives that will be more and more numerous. If those ones were 22.32% of the total population in 2014, in 2028 they will be 28.25, thus underlying the population's progressive ageing. There will be above all

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<sup>103</sup> The annual mean variation rate has been calculated considering the continuous development model  $P_t = P_0 e^{rt}$ , that leads to  $r = \frac{\lg(P_t / P_0)}{t}$

a steep rise in the “very old people”, i.e. those individuals over 80 years old who were 6.45% of the population in 2014, while in 2018 will pass to 9.07%. As a consequence of this inevitable ageing of the population, there is also the increase of the median age. Actually, it was 45.6 years in 2014, while it is expected to be 51.1 in 2028, thus having an increase of more than 5 years.

If we examine the future structure indexes of Bari population, we will have another confirmation of the population’s progressive ageing process. The old age index, which represent the weight of the over-sixty-fives compared to the population up to 14 years old, will pass from 174.4% in 2014 to 252.4 in 2028. Prospectively speaking, in 2028 Bari will have about 252 elderly people aged 65 out of 100 young persons aged up to 14. Consequently, the elderly people dependency ratio, which is the ratio between the over-sixty-fives and the 20-64 working-age population, will trend upwards as well, passing from 37.2% in 2014 to 50.1% in 2028.

As for the structure indicators of the job offer potential, but above all the turnover rate obtained from the ratio between the individuals who are going to enter the active age population, represented by the 15-19 age class, and those who are going to leave, belonging to the 60-64 age class, in 2014 it was 77.1%, while in 2028 it is expected to decrease to 50.9%. The downturn is fundamentally due to the combined effect of the population’s low fecundity and high ageing rates. Also the activity index or structure index of the active population, obtained by the ratio between the 25 oldest generations (40-64-year-olds) and the 25 youngest ones (15-39-year-olds) that shows the active population’s ageing degree, will trend upwards and pass from 124.5% in 2014 to 145.2% in 2028.

Table 1 – Population of the city of Bari by large age classes in 2024, projected to 2028, and structure indexes.

	Projection without migrations			Projection with migrations		
	2014	2021	2028	2014	2021	2028
<b>Population</b>						
0-19	56916	52057	46903	56916	64094	63616
20-59	173539	162637	146055	173539	220026	260759
60+	92296	101441	111182	92296	109851	133544
65+	72048	79393	85916	72048	83786	98999
80+	20831	24983	27584	20831	26150	30094
0+	322751	316136	304139	322751	393971	457919
<b>Percentage incidence</b>						
0-19	17.63	16.47	15.42	17.63	16.27	13.89
20-59	53.77	51.45	48.02	53.77	55.85	56.94
60+	28.60	32.09	36.56	28.60	27.88	29.16
65+	22.32	25.11	28.25	22.32	21.27	21.62
80+	6.45	7.90	9.07	6.45	6.64	6.57
0+	100.00	100.00	100.00	100.00	100.00	100.00
<b>Median age</b>	45.6	48.6	51.1	45.6	45.6	46.5

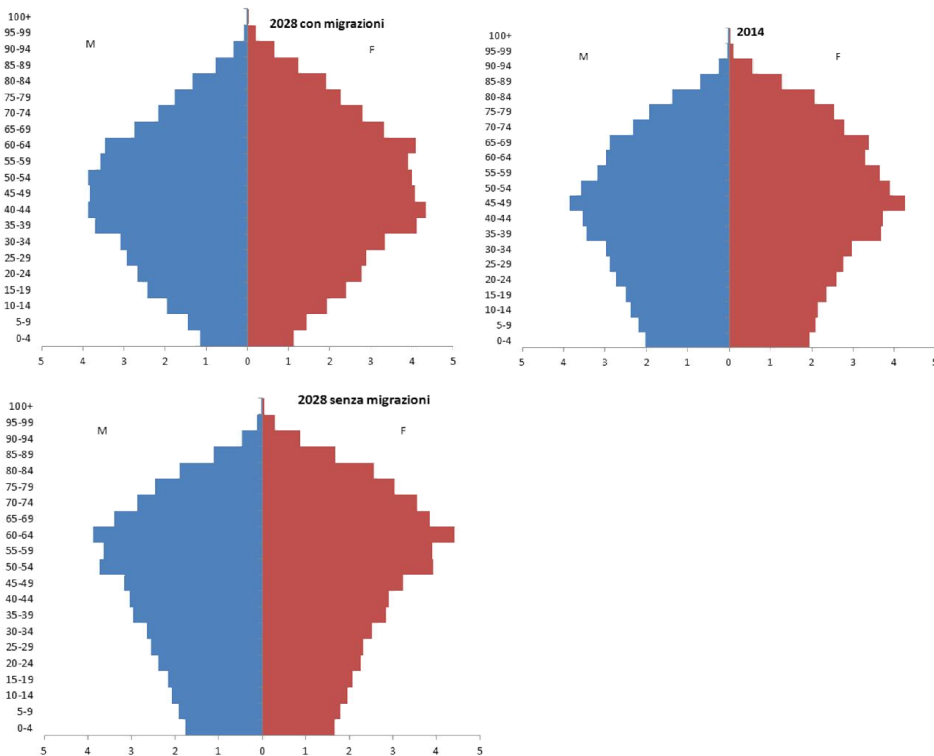
<b>Indexes:</b>						
<b>old age</b>	174.4	211.0	252.4	174.4	189.8	238.7
<b>elderly-dependency</b>	37.2	43.0	50.1	37.2	34.0	33.5
<b>turnover</b>	77.1	65.4	50.9	77.1	76.6	64.1
<b>activity</b>	124.5	141.2	145.2	124.5	123.1	128.6

We have decided to compare also with a chart, through the age pyramids concerning the relative ages in 2014 and 2028 (figures 1-2), the structural modifications occurred in the examined population, analysing only the natural component.

The structure by age in 2014 shows a narrow base essentially due to the low fecundity and a greater survivorship in the elderly classes, particularly in female population. On the contrary, from the 2028 projection we realize that there is a deep change in the structure by age: the narrowing of the base is even more evident, but, compared to 2014, that narrowing involves also the other classes up to the 45-49 age-class, including most of working-age population (20-64), in view of the rise in senile ages population.

**Fig. 1**

**Fig. 2**



**Fig. 3**

In the light of these considerations it is evident that in Bari population the generation turnover cannot sufficiently guarantee both an adequate

substitution level in the working classes and a balanced development of the population. Actually, by estimating the specific fecundity rate by age, we have obtained a TFT level of 1.31 children per woman, a value which is below the “substitution” one, thus creating a decreasing trend of the population. The value that the total fecundity rate must reach in order to keep the population’s dimension basically constant is 2.1 . Actually, all that means that every woman should give birth to more than two children (males and females) on average in order to give birth to a daughter who will be the “substitute” after her mother’s death. If the TFT exceeds this value, we can see that the population is growing, otherwise the population is potentially decreasing.

### **Projection “open” to the migratory movements. Main results.**

Now we need to understand what the “picture” of Bari population will be, if we consider the migratory drift. As the population has a fecundity rate well below the generation substitution level, thus being in a natural decrease regime, it is important to see whether the migratory component will be a factor of the demographic development, thus being able **to oppose the demographic regression**, or it will be an irrelevant variable on the population structure and will therefore help in **stressing the population’s ageing**.

Actually, the analysis of Table 1 data, represented in Fig.3, shows that in the future the migratory component could become a demographic development factor able to neutralize the present demographic regression and drive the population to achieving a new balance.

By comparing the two presented scenarios through the data of Table 1 and Figures 2 and 3, the action of the positive net migration is evident. In the first scenario “closed” to migratory movements, in consequence of a decreasing natural component force, the structure of the population splits in two parts: in the lower part of the ages pyramid, in the future, there will be a population decrease (age-classes 0-19 and 20-59) caused by low fecundity rates, while in the upper part of the ages pyramid there will be a population increase (age-classes 60+, 65+ and 80+) due to population ageing. In the second scenario “open” to the migratory movements, instead, the entry of immigrants will cause a population increase in the active and reproductive classes (20-59-year-olds) and will mitigate the population ageing process. This effect of immigration in the city of Bari is highlighted also by the lowering of the median age, thus passing from a “closed” scenario to an “open” one. If there were the outlined hypotheses, in the first scenario of the 2014-2028 period, the population would decrease of about 6% and would lose about 18,000 units, while in the second scenario they would increase of 41%, thus getting about 135,000 new units.



### **Estimation of Bari households on 01.01.2028**

A large number of phenomena concerning behaviours and choices made by single individuals are also influenced by the system of relationships they singly have, particularly by the household group they belong to.

Hence the importance of adding the elaboration of evolutive scenarios concerning households to the traditional population forecasts which are widespread all over the developed countries. The application developed in the household forecast field are also internationally widespread, thus witnessing the great interest that this matter arouses. More specifically, the evolutive trend of the different household typologies is very important to forecast some forms of consumption, to plan houses and forecast the following demand for them; moreover it is also useful in a lot of other aspects concerning the social and welfare policies of a specific territorial context.

In this paragraph we will deal with the amount evolution of Bari resident households classified by sex through the use of the basic demographic projections results about Bari population in 2028 obtained thanks to the above mentioned elaborations.

Different methods can be used to estimate the future total number of households, but the first one we used in this study is a ***synthetic approach*** tied to the population growth rate which, in the observed period, is supposed to be equal to the household amount. This somewhat easy procedure consists in assuming that both the amount of subjects living in a household and the mean household dimension keep constant.

The second method we used is an ***analytic*** one, i.e. the ***headship rate method*** (UNO 1973) which requires the calculation of the household heads incidence rates (obtained as a ratio between household heads, differentiated by age classes and sex, and the corresponding population) through which it is possible to pass from the forecasted population to the corresponding households forecast.

### **Synthetic Method**

The estimation of Bari households amount in 2028 is shown in Table 2, by hypothesizing that during the observation period the amount of the households has the same population growth rate. Consequently, the mean number of the members is unchanged at both dates. It is clearly evident that the study of the households total number with this methodology is carried out through summarizing values that can be instantly read thanks to the calculations of the following table:

Table 2 – Total estimation of households in the city of Bari in 2028.

	Scenario without migrations	Scenario with migrations
Observed population in 2014	322751	322751
Forecasted population in 2028	304139	457919
Resident households in 2014	135650	135650
Population variation rate (2014-2028)	-3.96%	23.32%
<b>Forecasted households in 2028</b>	<b>127828</b>	<b>192460</b>
<b>Mean number of components</b>	<b>2.38</b>	<b>2.38</b>

Source: our elaborations on Istat data and registry data of Bari City Hall

If we consider the scenario without migration, the households number will pass to 127,828, with a decrease of 5.8% compared to the number in 2014. Next to it, the scenario “open” to migrations shows an increase of the households number, always in the same year, of about 42%.

### Analytic method

To obtain the future estimation of Bari households through the analytic approach we need the creation of the specific rates by sex and age of the household heads incidence (*headship rate*), obtained as a ratio between the household heads number (by sex and age class) and the corresponding population.

Analytically, the *propensity to be household head by age*, is given by:

$${}_t t_x^m = \frac{{}_t Cf_x^m}{{}_t P_x^m} \quad {}_t t_x^f = \frac{{}_t Cf_x^f}{{}_t P_x^f}$$

where  ${}_t t_x^m$  and  ${}_t t_x^f$  represent the male and female household heads rates at age  $x$  in time  $t$  respectively.

Afterwards, by applying the household heads incidence specific rates by sex and age to the population amount in the forecasted single age classes, we obtain, as far as the chosen year is concerned, an estimation of the household heads and therefore, indirectly, also the estimation of the households number. The used relation is the following one:

$$Fam_{t+n} = \sum {}_t t_x^m \cdot {}_{t+n} P_x^m + \sum {}_t t_x^f \cdot {}_{t+n} P_x^f$$

This is a static method, therefore the main limit it finds is that it does not consider the inner components (divorces, marriages between previously married people, etc.) which could modify the households number in the course of time. However, in the contexts where these changes are not rapid or when we want to estimate the households numbers in a fairly short forecast period, this method can give satisfying results, because it is often the only usable approach to get an immediate information availability. With this method the basic population is the one observed in 2014, while the following one of 2018 is the result of population forecast previously described. The

chosen age classes are by decades except the last one (85+). From the analysis of the tables data shown below, we realize that the households total number in the city of Bari, on the basis of the hypothesis of “closed” population, is destined to decrease. Conversely, if we consider the “open” scenario, the household total number will trend upwards. In 2014 there were 135,640<sup>104</sup> households. Hypothesizing a scenario “closed” to migrations we expect a decrease of the households number (130,765) equal to 3.6% (see Table 3), while, considering the scenario “open” to migrations, the forecasted households number might pass to 200,238 with a percentage increase of 47.6%, compared to the year 2014 (Table 4).

On the other hand, if we analyse the distribution of the household heads estimations by sex, we can see that male household heads number in the “closed” scenario will pass from 90,512 in 2014 to 87,934 in 2028, thus stressing a decrease of 2.8%. Conversely, if we consider the “open” scenario”, the number will pass to 133,091 in 2028 with an increase of 47.0%.

Also the number of female households heads is destined to decrease of 5.1% in the “closed” scenario where we expect 42,831 households compared to the present 45,128. On the contrary, an increase of 48.8% is expected in the “open” scenario.

Table 3 – Estimation of the households number in 2028. 1<sup>st</sup> scenario “closed” to migrations.

Age class es	Household heads in 2014		Observed population in 2014		Household heads rates		Forecasted population in 2028		Forecasted household heads in 2028		
	males	female s	males	females	males	femal es	males	females	males	females	total
15-24	778	512	16832	15997	46.2	32.0	13814	13162	639	421	1060
25-34	640	346			339	186					
35-44	5	3	18889	18535	.1	.8	15793	14738	5355	2754	8109
45-54	151	637			670	267					
55-64	47	8	22591	23869	.5	.2	18213	17524	12212	4683	16894
65-74	201	714			838	271					
75-84	33	9	24023	26325	.1	.6	20958	21743	17564	5905	23469
85+	186	654			936	291					
Total	40	2	19912	22426	.1	.7	22886	25354	21424	7396	28820
	161	729			962	365					
	60	7	16794	19956	.2	.7	19036	22523	18317	8236	26553
	102	874			957	586					
	14	5	10663	14911	.9	.5	13230	17073	12673	10013	22686
	303	504			931	779					
	5	2	3258	6466	.6	.8	5245	8809	4886	6869	11755
	905	451			680	303					
	12	28	132962	148485	.7	.9	129175	140926	87934	42831	130765

Source: our elaborations on Istat data and registry data of Bari City Hall

<sup>104</sup> The households number does not coincide with the one shown in Table 2, because we have not considered the household heads younger than 15 years old, a datum which is considered unremarkable.

Table 4 – Estimation of the households number in 2028. 2<sup>nd</sup> scenario “open” to migrations.

Age classes	Household heads in 2014		Observed population in 2014		Household heads rates		Forecasted population in 2028		Forecasted household heads in 2028		
	males	females	males	females	males	females	males	females	males	females	total
15-24	778	512	16832	15997	46.2	32.0	23439	23683	1083	758	1841
25-34	6405	3463	18889	18535	339.1	186.8	27522	28438	9332	5313	14646
35-44	15147	6378	22591	23869	670.5	267.2	34732	38626	23287	10321	33609
45-54	20133	7149	24023	26325	838.1	271.6	35279	36917	29566	10025	39592
55-64	18640	6542	19912	22426	936.1	291.7	32227	36584	30168	10672	40840
65-74	16160	7297	16794	19956	962.2	365.7	22484	27970	21635	10227	31863
75-84	10214	8745	10663	14911	957.9	586.5	14232	19052	13633	11174	24806
85+	3035	5042	3258	6466	931.6	779.8	5596	9664	5213	7536	12749
<b>Total</b>	<b>90512</b>	<b>45128</b>	<b>132962</b>	<b>148485</b>	<b>680.7</b>	<b>303.9</b>	<b>195511</b>	<b>220934</b>	<b>133091</b>	<b>67147</b>	<b>200238</b>

Source: our elaborations on Istat data and registry data of Bari City Hall

### Final considerations

Finally, we try to summarize the results obtained by the analysis of the future alternative scenarios presented here, namely the *what-if-projections* which lead us to opportune remarks. Fundamentally, the trend of both the households total and the distribution of the household heads estimations by sex and age follows the evolution of the forecasted population structure in 2028. The effects of social and demographic changes, characterized by the acceleration of the population ageing process and the changes of the households structure, show the numerous critical elements of our population: we live longer and longer but the propensity to have children is still low. The migratory component shows instead a possible development factor useful to mitigate the present demographic regression. Actually, between the two supposed scenarios there are shades more than remarkable differences concerning the unstoppable increase of elderly population.

Without drawing up a classification of the important and obvious effects that would result from the rejuvenation of the population, we would like to say a few words in order to underline the importance of this process which, as an alternative to such a low fecundity rate<sup>105</sup> like Bari's one (below the national rate), could occur only through the entry of immigrants. All that will cause a population increase in the active and reproductive classes (20-59-year-olds) and the obvious mitigation of the ageing process. Actually, the loss of balance towards more elderly classes determines a contraction of the

<sup>105</sup> In the life of a human being, to ensure the society's survival, the most essential aspect of the individual behaviour is an adequate fecundity. The birth determinants are a key component of the social change which does not affect only demography. Actually, on the one hand birth is the result of a complicated network of casual factors concerning both the biologic field and the sociocultural, economic and environmental one; on the other hand, it causes very important effects in the vicissitudes of the population and of the units composing it. At aggregate level, the changes in the procreative behaviour directly influence the society transformations.

participation in the job market, thus creating great strain in public balance sheets because of the increasing pension and health expenditure. Consequently, what will also tend to increase will be the socio-economic charges concerning the health care and social security for elderly people, thus causing the so-called “*longevity shock*” (*International Monetary Fund, April 2012*).

For this reason, the local and national communities should commit themselves, in a common effort, to bringing about convenient social policies that suit the demographic reality of the 21<sup>st</sup> century. Only through an effective verification of the changes made in the daily life of individuals and households, and above all in their ability, in the course of time, to cope with the challenges that every transition issues, we will be able to plan in a thoughtful way, thus leaving out the “many words” without any meaningful content.

Several scholars talk about a real Italian “demographic suicide”. Actually, the public policies are characterized by minimal intervention in favour of households. The government intervenes only in cases of poverty risks, extreme need, discomforts and malfunction. However, if we consider the households ageing trend and their fragmentation caused above all by the increase of the so-called unipersonal families mainly composed of elderly people, it is evident that in the next few years Italian households will be less and less able to perform as a social security cushion. Therefore, the most serious consequence will be the promotion of an involutinal cycle concerning the population that will be characterized by an increasing household fragmentation, an increase of elderly households and a missed generation turnover, only partially balanced by immigration.

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# AUDIENCE'S PERCEPTION OF CULTURAL/ETHNIC STEREOTYPES IN TV SHOWS

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## Abstract

Ethnic Stereotypes in media and why they matter: Much research has focused on the existence of both positive and negative stereotypes in television. The fact is that stereotypes are still present in the media and have several implications for the ethnic and social groups included. Racial or ethnic stereotypes, which are the main topic in this research, are generalizations about an out-group. Processes of this research: This study examines relevant research articles about the portrayals in television of ethnic and cultural groups. Literature suggests that television still plays an important role in reinforcing stereotypes. These articles provide the starting point for future research about the possible effects on the audience regarding cultural stereotypes in TV shows, especially African American stereotypes; Latino stereotypes; Asian stereotypes; and interracial relationships. Results: The repeated depiction of cultural stereotypes in television shows reinforces and validates the notion of the “other.” The articles reviewed for this research provide the most relevant findings regarding this issue. However, further research needs to be done to determine the possible effects on the audience and changes in attitudes towards different cultural or ethnic groups after the exposure to these stereotypes and how the effects could impact real-life interactions among different groups.

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**Keywords:** Stereotypes, ethnic groups, cultivation theory, dehumanizing

## Introduction

Recent research on the portrayals in television of ethnic and cultural groups shows that television is filled with stereotypes depicting these groups. However, further research must be done to determine if these stereotypes produce an effect on the audience. Literature used for this research suggests that television still plays an important role in reinforcing stereotypes. While researching articles written about stereotypes in television, I found several authors that studied the existent mediated stereotypes in television about

certain ethnic groups and some others that conducted relevant studies about the stereotypes' effect on the audience and whose results showed that stereotypes "influence real-world feelings and beliefs about these outgroups" (Ramasubramanian 102). These articles provide the starting point for the research questions for this paper about the possible effects on the audience regarding cultural stereotypes in TV shows. The following is a more detailed literature review about this topic divided in different sections: stereotypes in media; African American stereotypes; Latino stereotypes; Asian stereotypes; Interracial relationships; and the study of the issue in other countries. The last section is a projection of what my detailed research questions could be, and what research method would be most appropriate for conducting my study.

## **I:**

### **Stereotypes in media and why they matter**

Much research has focused on the existence of both positive and negative stereotypes in television. The fact is that stereotypes are still present in the media and have several implications for the ethnic and social groups included. Racial or ethnic stereotypes, which are the main topic in this research, are generalizations about an out-group. In this section, we can see some articles focusing on the stereotypes in the media.

Lee and his colleagues conducted a research on stereotypes as a result of heavy television consumption with college students. Departing from the powerful assumption that; "Positive and negative stereotypes exist in our society" (95), Lee and his colleagues set a study to evaluate the effects of heavy media use in the audience. The study examined the audience's perception of different ethnic groups by means of a voluntary survey. Their findings showed that heavy television consumers perceived more negative stereotypes and that Caucasians were the group associated the least with these negative stereotypes (107). There was also a difference between television genres, since "heavy viewers of entertainment, educational and sports program appeared to have more negative ethnic perceptions" (107), while viewers of information programming, such as news, had more positive perceptions. Their results support the idea of the media having an impact on the audience's perception, which has several implications; there is a need a more active role on how the media educates society. Lee and his colleagues state that, considering the amount of influence the media have on consumers, consumers should be educated to question the information given, and that scholars can "encourage media critique as well as promote efforts to reduce stereotypical portrayals" (108).

Ramasubramanian's study on television viewing and racial attitudes also explores the perception of White viewers about other ethnic groups,



specially African-Americans and Latino-Americans, and the influence on their beliefs about these groups. In his words, “television has a history of underrepresenting, marginalizing, and caricaturing non-White characters” (103). Stereotypical portrayals in television of these groups on television are considered to contribute to negative stereotyping, because these groups are depicted as “different, inferior, and ‘othered’” (Ramasubramanian 104). Ramasubramanian's findings suggest that stereotypes influence negative feelings toward ethnic groups; in his research, African-American and Latino-American groups were associated with criminality and laziness. As we can extract from both articles, television is still an influential medium for reinforcing racial attitudes and opinions.

But how about the content created by the viewers themselves? Guo and Harlow conducted a content analysis regarding Youtube videos containing stereotypes of Black, Latino and Asians. Departing from the Youtube's motto “Broadcast yourself”, they expected to find alternative media. For their analysis, they watched 150 Youtube's most-viewed videos about each ethnic group (Blacks, Latinos, and Asians). They were trying to find how “racial stereotypes were treated in the Youtube videos” (2). In order to do so, they coded the videos as reinforcing (if they showed the stereotypes as true), or as challenging (if they showed nonstereotypical images). The common stereotypes they coded in the videos were “law breaker”, “uneducated”, “poor”, “rapper” for Black people. The most common stereotypes for Latino coded were “law breaker”, “uneducated”, “poor”, “illegal immigrant” and “sexualized women”. Asian stereotypes coded were “model minority”, “hard-working”, “business oriented”, “nerdy” and “sexualized women”. Their results showed that videos related to Black stereotypes were challenging them more than the other videos regarding the other races (45%). Latino videos, however, were the less challenging (2%). The most common stereotype portrayed for the different ethnic groups was “lawbreaker” for Blacks, “sexualized women” for Latino and “nerd physical appearance and language pronunciation” for Asians (291). The analysis showed that individuals, not companies or professional organizations, uploaded 86 % of the videos. The authors found also that videos with stereotypes had more views than videos without stereotypes. Finally, their results supported that the majority of videos (85%) were reinforcing racial stereotypes, while just a few were challenging them. Their study suggests that even user-generated Youtube's videos support the “racial hierarchy as emphasized in the mainstream media” (299).

As we can infer from what the articles propose, stereotypes are present in television, whether they are positive or negative. The existence of stereotypes composes a mainstream generalized view about a specific group. Our last article proves that not only the mainstream media produce

stereotypes, but also the consumers; even consumer-generated videos are full of ethnic stereotypes.

### **African american stereotypes**

After stating the importance of stereotypes, I will focus on specific examples of stereotyped ethnic groups or stereotype's research. The present section will deal with the existence of African American Stereotypes in television and how this group is portrayed, as well as the implications that the stereotypes have for the audience.

Northup conducted a study on implicit and explicit attitudes toward African Americans using Cultivation Theory as a framework. The author states that media can have an important role in maintaining and creating the dominant culture: in this case, the negative attitudes towards African-Americans (29). In his research, Northup was testing the differences between heavy viewers of television and light viewers in their perceptions of African Americans. He used a quantitative method based on surveys conducted after watching a piece of news. This piece of news was different for two different groups: in one group, participants were exposed to an African American suspect, while in the other group, participants were exposed to a Caucasian suspect. Participants were surveyed about the level of guilt they would assign to the suspect as well as some other demographic questions to evaluate the amount of media watched by the participant. The results of the study are highly interesting in relation to the present research, since they showed that those participants who were heavy viewers thought the African American suspect was guiltier than the light viewers (22). The clearly different level of guilt assigned by the two types of participants was compared with the almost no difference shown between heavy viewers and light viewers when assigning a level of guilt to the Caucasian suspect. In both groups, the piece of news was contained the same information, with the only difference being the picture of the Caucasian suspect or the African American suspect. Therefore, as Northup points out that, a heavy consumption of media has an influence in the audience's attitudes towards African Americans, since the media's criminal portrayals of this ethnic group are higher. According to Northup, findings show the potential damage of a high use of criminal stereotypes by the media: "If new users are trained to believe that an African American they see is guilty, then the entire justice system could be undermined" (38).

These mediated stereotypes also affect the stereotyped ethnic group. Sanders and Ramasubramanian conducted further research on the audience's perception of the stereotypes when the audience itself belonged to the stereotyped group. According to the researchers, viewers of television shows exposed to limited depictions of some groups were influenced and would

categorize these groups. Categorization is the maximization of differences between social groups and minimization between group members, creating an “us” and “them” perspective (Sanders and Ramasubramanian 19). While recent research has focused on the non-minority audience’s perception of the various ethnic groups in relation with the judgments the audience makes, this study has centered in the presentation of stereotypical depictions of different ethnic groups to the stereotyped groups, specially African Americans. Sanders and Ramasubramanian conducted a study by means of an online survey with 154 African American participants regarding their perceptions of 30 fictional media characters, such as Hispanics, African Americans and Asian Americans. Participants were asked to describe the characters by choosing among the adjectives they were given. The results showed that perceptions of African American characters were favorable, while the support for the other groups was mixed. Therefore, Sanders and Ramasubramanian come to the conclusion that ethnic groups do not have the same perception of themselves that Caucasians have about them, although there is still the media’s impact in how the groups think about one another (35). Their study is highly important because it corroborates the media’s ability to affect the audience’s emotions towards different ethnic groups from their own, but it does not have an effect on the stereotyped group itself.

We can see that African American stereotypes still exist in the media and that they have an influence in the audience with possible implications. African American stereotypes found in research include images such as the aggressive figure.

### **Latino stereotypes**

Similar to the previous section, this section deals with Latino stereotypes in the media and how they impact the audience. Some studies start to show a difference in tendencies towards stereotypes, although they are still present in primetime television. In this regard, Mastro and Morawitz conducted a content analysis of the television representation of the largest ethnic minority group in the United States, which is Latino (12.5%). Departing from the fact that former content analysis have found Latino characters being depicted as stereotypic and often with negative characterizations, including “the criminal, the law enforcer, the Latin Lover, the Harlot, and the comic/buffoon” (111). Following the frame of Cultivation Theory, a heavy exposure to television changes viewers perceptions, which means that learning from television’s depictions of Latinos could influence interactions in real life. Mastro and Morawitz’s findings in their study showed that, in a two-week television programming on the most popular networks, Latinos only represented 3.9% of characters, which is highly underrepresented, compared to the actual population, and they were not

likely interact with white peers. They had lower job authority, but the tendency to depict them as subordinate was decreasing. They were generally thin and attractive, depicting them as “additively romantic, sensual, sexual, and even exotically dangerous” (125). Latinos were also depicted as least intelligent and articulate, the laziest, and most verbally aggressive. Therefore, Mastro and Morawitz get to the conclusion that, ethnicity “does, in fact, impact the manner in which characters are depicted on primetime television” (124) and, although there are improvements over previous decades, stereotypes persist.

Merskin also investigates the perpetuation of the stereotypes in television. Her study is focused on the hot-latina stereotype. Merskin conducts a textual analysis of the show *Desperate Housewives*. Although a Latino character as a lead character is not usual, the hispanic character Gabrielle Solis plays an important role in the show, which at first can be seen as an achievement. However, Merkin’s study shows that the depiction of Gabrielle’s character during several episodes is still filled with the usual behavior that belongs to the female hispanic or latina stereotype. Gabrielle Solis and even the actress in real life, Eva Longoria, appear often in the show and in magazines in a way that reinforces the “prominent, oversexed, under-dressed” latina character (Merskin 134). According to Merkin, beliefs about race, ethnicity, sex and gender are reinforced through television and “an ideology of White/Anglo racial superiority is maintained by using stereotypes” (134). She also states that stereotypes “reduce individuals to a single, monolithic, one-dimensional type that appears and is presented as natural and normal” (135). In her article, she suggests that stereotypes become naturalized through their repetition and support cultural beliefs and values about certain groups of people based on distorted presentations of qualities, which increases the sense of the “other”.

Avila-Saavedra studies also the Latino stereotypes in television, but focuses on the Identity of Latinos in the U.S. In his research, he analyzed Latino television comedies that “articulate an implicit tension between ethnic otherness and desire for assimilation for U.S. Latinos” (271). Three comedies are analyzed exploring the Latino identity and how media legitimates or defies cultural perceptions: *George Lopez*, *Freddie*, and *Mind of Mencia*. He found that Latino comedy shows are full of ethnic insults that on the one hand, “is an explicit articulation of cultural otherness”, and, on the other hand “it makes the joke acceptable for Latino and non-Latino audiences” (282), in an effort to be included in U.S. mainstream culture. Latino comedians affirm their otherness by ridiculing themselves and non-Latinos, in order to “provide relief for the accumulated tensions that originate from Latinos’ self-perceived lower social status. In any form of struggle for social power, a desire to challenge dominant values competes

with a desire to become part of the dominant ideology” (286). The comic content requires adaptation, since it has references to U.S. history and culture, making it Latino comedy for U.S. Latinos, not for Latin Americans. The use of Latino stereotypes confirms the Latino ethnic identity, but also the inclusion in American mainstream. These comedies are popular among U.S. Latinos for identity construction and among the non-Latino audience as a new source of information about Latinos that embrace U.S. values, which ease social fears (289).

Mastro and Tukachinsky, however, look at the issue from a different perspective. Their study is based on media’s depictions of good stereotypes and the possible good effects that these can have in the White audience, regarding their possible improved judgment of the stereotyped groups. The authors conducted a triple study in which they looked for the effect on the audience after being exposed to favorable Latino depictions. They exposed the participants in the first study to a well-liked Latino actor and then their evaluations of Latinos were analyzed. In the second study, they showed a group of Latino portrayed favorably in a television show, and in the third study, a mixture of the group and the picture. Their hypothesis was that the audience’s evaluations would be more favorable after the exposure. The results of their study suggested that the depiction of favorable stereotypes has an effect on the audience regarding their evaluation of ethnic groups. Their findings showed that the exposed audience was more likely to give a generous evaluation of the group. Their study also showed that to reduce the negative stereotypes is not enough to affect the audience but there is a need for the inclusion of favorable or counterstereotypical data. However, their findings also suggested that an “extreme disconfirmation of the stereotype is likely to overly challenge audience members’ existing views leading to dismissal of the information as too deviant” (933). Their conclusion is to increase favorable media depiction of these ethnic groups, but also adding audience’s preexisting cognitions, such as positive stereotypes.

Murillo and Escala conducted a study on the popular television show *Ugly Betty*, examining the transformations of the media constructions of the Latino population in the US, providing a more complex cultural portrayal. The character of Betty Suarez, tries to attract the people in her community representing the Latina stereotype, but also, having a Latino character as the main character is a novelty in the Latino excluded television world. According to the authors, *Ugly Betty* is an example of how culture is represented and the meaning constructed through the characters of television shows, and their qualities and representations. Betty is a character in a context in which others (White Americans) perceive her as foreign and different; not only someone ugly, but someone that does not belong in the culture. The television show, however, after proposing the social exclusion

issue, proposes also a solution through the acceptance of multiculturalism in the US. Betty will fight for being accepted, while conserving her culture and family values. Her final transformation, more than being a physical change, it is also a social and cultural change. When she is accepted and she achieves integration in society, the television show depicts a world in which difference is possible. This television drama, produced by the Latina actress Salma Hayek, it is a proposal of a social project; a representation of exclusion methods and possibilities of inclusion of the Latino population in the United States.

Latino stereotypes have been extensively researched, as well as African American stereotypes. We still find the existence of Latino stereotypes in the media, increasingly even due to the current growth of this population. Latino stereotypes found are several, such as the passionate Latin Lover or Hot Latina, and the aggressive *bandido*.

### **Asian stereotypes**

This section will deal with Asian American stereotypes, even it they have not been extensively researched. However, the scarce existent research is highly relevant. Here a single article is depicted:

Asian Americans have also been stereotyped, as we can see in Zhang's study on the impact of stereotypes on the interactions between Asians and non-Asians. Applying also from Cultivation theory and the presence of stereotypical characters in media, Zhang tested different hypothesis on how Asian Americans will be perceived. The hypothesis were that they will be perceived as more likely "to achieve academic success" (Zhang 25), "to be perceived as nerds" (26), "to be left out" (27), and peers will be "less likely to initiate friendship with Asian Americans" (27). Zhang constructed four scenarios for her research and asked the participants to read them and respond a survey afterwards. For instance, in the first scenario, Jane was a student with a perfect GPA who had won various math contests. Participants were asked to rate if they thought Jane was "Asian, Black, Hispanic or White" (29). After having participants read the four scenarios and answer similar questions, Zhang's findings showed that Asians were rated "the highest in academic achievement" (30), "the highest in the lack of social skills" (31), "the highest in peer rejection" (31), and that "the likelihood to initiate friendship with Asians was found to score the lowest" (31). Zhang's results demonstrated that Asians are perceived "as nerds who are intelligent, hardworking, and technologically talented but clumsy and lacking appropriate social and communication skills" (32), exactly as the Asian stereotype. People's judgements of Asians are influenced by ethnic stereotypes, and they affect the interactions between this groups and other groups.

Although there is a need for research focusing on this ethnic group, we can still find stereotypes such as the hard-working or nerdy figure, which confirms that Asian Americans are also a stereotyped ethnic group in television.

### **Interracial relationships**

Finally, another research matter is the representation of stereotyped interracial relationships that include current racial stereotypes. As in the case of Asian American stereotypes, it is not an extended topic for research, so I will just mention one article.

In her article, Washington studies the depiction of interracial relationships in television. Specifically, the author looks at the relationship between the Black and the Asian characters of the popular television dramas *Grey's Anatomy* and *ER*, regarding the representation of interracial relationships from a hegemonic point of view. Washington argues that much research on interracial relationships has been done with Black and White, Latino and White or Asian and White, but not much among the non-hegemonic ethnic groups, such as Black and Latino or Asian and Black. These representations, although they reflect the change in times towards a multicultural society, depict the traditional stereotyped Black male and the traditional Asian female, and “reproduce power relations that support the White privileged racial hegemony” (256). Under a label of *color-neutral* or *color-blind* and including more and more ethnic characters in television, “Whites avoid being labeled racist” but representations of race are still stereotypical and their stories are told from the White hegemonic narrative perspective (258). In the analyzed television show *Grey's Anatomy*, the character of Cristina Yang represents the stereotype of the “dragon lady” (the hypersexualized lady with fiery temperament), she is brilliant in her work and aggressive, and she seems unable to control her sexual desire (259). The opposing stereotype is the “lotus blossom” (a virginal, submissive young woman). This stereotype is represented in the second analyzed show *ER*, with the characters of Jing-Mei Chen and Neela Rasgotra. Both dramas show how “Asian Americans should conduct themselves in order to fit into White Society” (260). They should be brilliant, either hypersexual or virginal, and they should not complain about the hard work. On the other hand, the Black male characters who they are paired with in the shows, represent also the two Black stereotypes: the “tom” (the submissive, kind and selfless) and the “brutal black buck”, oversexed and dangerous (260). The representation of the tom is used to “remind Blacks that they need only to obey their White ‘masters’ to solve all their problems” (260). The character Dr. Burke, who is paired with the furious Cristina Yang, is the representation of the tom in

*Grey's Anatomy*. He never gets angry and remains loyal to the; he is extremely kind and even dies for his country. Finally, the relationship between the stereotyped Asian females and Black males is depicted either as a marriage without sex, like Rasgotra and Gallant's relationship, or as a "sexual relationship that cannot lead to marriage", like Yang and Burke's relationship or Chen and Prat's relationship. It is worth mentioning that Dr Chen's character had had a previous interracial relationship with a Black male that ended in a multicultural baby that she gave up for adoption. This representation "addresses popular culture's discomfort with multiracial people" (266), and the audience is not shown what a multiracial baby could bring to the "color-neutral" world of *ER*. A similar case happens in *Grey's Anatomy* when Yang gets pregnant and she has a miscarriage. Yang and Burke's relationship ends up when Burke leaves her at the altar: the hierarchies remain (264). As a conclusion, Washington argues that the depiction of Asian females and Black males in relationships in television "as examples of attempt at resisting the dominant hegemony, these shows are doing the opposite by playing directly into the racial hierarchy" (265), since they are dramatic and have a tragic end: the children that they could have, are either eliminated (miscarriage) or silenced (adoption). These television shows, according to the author are of highly importance because they construct cultural symbols, and these representations do not challenge the stereotypes or try to understand Asian or Black people. In addition, while this troubled interracial relationships are represented, "Whiteness maintains its position at the top of the hierarchy". As we can see in this article, interracial relationships are also stereotyped and represented in a way that favors the hegemonic dominant view, still increasing the importance of the hierarchy.

### **Perceptions of media stereotypes in other countries**

The issue of the effect of mediated stereotypes on the audience and how to promote a different media strategy have also been addressed in other countries. Therefore, even though the common stereotypes will be different in other cultures, the fact that the issue is also relevant in other countries makes this problem become important worldwide.

Igartua, Barrios and Ortega address this issue focusing on prime-time television in Spain. Their study focuses on depictions of immigrants on television entertainment produced in Spain. Immigration increased highly in Spain in the last few years, and immigrants now consist of the 12.2% of the population, accompanied by xenophobic reactions and attitudes towards immigrants (6). In order to evaluate the media representations of immigrants groups Igartua, Barrios and Ortega conducted a content analysis of the characters that appeared in Spanish fiction in television. Their hypothesis



were to find an underrepresentation of immigrant characters compared to native characters, as it is found in the United States television shows (e.g. 3.9% of Latino characters, while this group comprise the 12.5% of the population in United States); immigrants characters occupying a higher level of secondary roles and/or antagonists roles than native; and a lower socio-economic level and lower level of education is shown among immigrants characters. For the analysis, two full weeks of prime-time programming were selected randomly and recorded, but only fictional programs were analyzed. Although only 19.3% of the shows were actually produced in Spain (versus the 71.6% of shows produced in the United States), they focused on the Spain-produced programs for the study. Results of the study showed that there was in fact an underrepresentation of immigrants characters (7.8% of characters were immigrants, although there is a 12.2% of immigrant population in Spain); the immigrant characters were depicted with a lower educational and job level, and a higher violent behavior. According to Igartua, Barrios and Ortega, media's depictions of foreigners may "strengthen or foment prejudicial attitudes towards immigrants" (22). This study allows us to see the expansion of the issue in other countries where different ethnic or cultural groups are in contact.

Inzunza-Acedo also conducted research to determine the audience's perception of stereotypes in television, by analyzing the fans' reception of the television show *Lost* with focus groups in Mexico. The selection of the show was due to the multicultural variety of its characters, since they are from diverse origin such as American, Hispanic, European and Asian. After conducting the study, the results indicated that several stereotypes were reinforced. Inzunza-Acedo suggests that the lead character, Jack, of Caucasian origin, represented the perfect American hero and the audience admired him (23). His antagonist and also Caucasian, Sawyer, who is depicted at first as the villain but later as a secondary hero, invents nicknames for the rest of the characters that reinforce the stereotypical idea that they represent. When it comes to non-Caucasian characters, however, they are no longer depicted in the role of the hero. First, Inzunza-Acedo determined that the Hispanic characters were depicted as fat and naive in the case of one male character, Hurley, and as rude and aggressive in the case of two female characters, Ana Lucía and Ilana. The audience liked Hurley and disliked the two female Hispanic characters. Second, Merskin found that the European characters in the show were depicted as dirty and crazy, (e.g. the French character named Rousseau), extremely romantic, (e.g. the Scottish character Desmond), and drug abusers, (e.g. the British character Charlie). Third, the Asian characters were depicted as highly traditional: the female Asian character, Sun, is completely submissive to her husband Jin, a male Asian character. These characters are isolated from the rest of the group until

they start their westernization: they learn English and she acts more liberally. The audience thought this depiction of the two characters was completely normal, and participants even affirmed that “Asian people were like that” (Merskin 25). The African-American character, Michael, was depicted as skilled in manual work; and the African character, a Nigerian named Eko, depicted as stubborn and wild. The audience felt indifference for both of them. Finally, the Middle East character, and Iraqi named Sayid, is a veteran specialized in torture, and is perceived by the audience as the “terrorist” (25). Inzunza-Acedo's analysis of the characters suggests that all characters are stereotyped according to the culture that they belong to and that there is a sense of superiority in the Caucasian characters compared to the rest of cultures and nationalities. These stereotypes are not only promoted but also validated by comical situations that please the audience.

Another article on the issue has been conducted in Norway, with Halse's study on the audience's perceptions of the portrayal of a Muslim family in the action show *24*. According to Halse, the traditional Muslim stereotype has been constructed on a 'Middle East' image the Muslim Arab-American, and *24* has contributed to the promotion of this stereotype. This portrayal of a character is always related to terrorism, even if the character is integrated in the neighborhood and lives an ordinary life in the United States. Halse conducted his research by means of recording and identifying attitudes through focus groups interviews. Five of the seven focus groups consisted of young adults from a secondary school, while two groups of participants were Muslims immigrants from an Immigrant Education Centre. Selected scenes regarding this terrorist family from the show were screened, and they were asked about their perceptions of the characters. Norwegian participants tend to express more excitement and found the show more entertaining than the Muslim participants, who actually found it unpleasant and offensive. Norwegians tended to associate the Muslims as “the foreigners”, while the Muslims participants tended to see “Americans” as responsible for the offense in the show. From the study's results, Halse states that “texts like *24*'s can function as stimuli for interpretive communities in the negotiation of boundaries between us and them” (49) and that “the new Muslim stereotype, in addition to eliciting insecurity and xenophobia among non-Muslims, is also troubling for the Muslim immigrant community” (49). Halse's findings have serious implications, since the proposed stereotype is no longer innocent or funny, but have a secret violent desire to attack and destroy Western life, which certainly leads to a negative and discriminatory attitude towards, and from, Muslims, and deteriorate the environment in which these two cultures have contact.

These articles demonstrate that the study of stereotypes is a new but increasing research topic in other countries and cultures, outside the US. The

stereotypes found in the articles are, however, similar to the ones found in the research articles in the US.

## Conclusion

The repeated depiction of cultural stereotypes in television shows reinforces and validates the notion of the "other." The articles reviewed for this research provide the most relevant findings regarding this issue. However, further research needs to be done to determine the possible effects on the audience and changes in attitudes towards different cultural or ethnic groups after the exposure to these stereotypes and how the effects could impact real-life interactions among different groups.

From the literature review, we can see the vast amount of research conducted around the depictions and representations of ethnic groups in television. However, not much has been done around the perceptions of the audience and the impact that these perceptions have in real life. It is true that measuring the impact in society is a difficult task, but conducting research to prove that there is in fact an influence or that there is not, it is important to help determine if there is a need for change. If research proves and supports the evidences of a negative influence in the audience after the heavy consumption of stereotyped content, it would be highly possible that these acquired beliefs will play a role when encountering people from these stereotyped ethnic groups. If the negative effect is proven, then there is a need for change in television representation. Television representations that provide tools and promote discrimination should not be encouraged or tolerated. Also, possible measures against stereotypical content or the promotion of counterstereotypical content should be studied, which is why conducting further research on the audience's perceptions of biased television ethnic representations is vitally important.

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# THE PLEASURE FACTOR IN THE ANTHROPIC ENVIRONMENT AND THE GEOGRAPHY OF BEAUTY

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## Abstract

The paper represents a socio-geographic analysis of the products, objects and entities designed and manufactured for an anthropic environment use, looking to evaluate the different types of pleasure and the emotional feedback generated by these elements. The analysis of the four types of pleasure, as well as the innate preference for beauty, was conducted in the urban areas of Lisbon, based on the observations collected in April 2014, with no claims to have gathered all the relevant examples for this model-city. The conclusion is that the design-approach based on pleasure in the anthropic environment can now be significantly and systematically applied to help create a better environment, in terms of human emotional responses to it.

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**Keywords:** Pleasure, beauty, anthropic environment, urban, design

## Introduction

By the early twenty-first century, any product designed and manufactured for human use incorporated, in its material and virtual form, mostly elements of functionality and usability, while the idea of pleasure was left outside of the conceptual matrix of the producer (with the obvious exception of those products designed explicitly to generate physical pleasure). The genesis of positive emotions, sensations and feelings seemed to disagree with the product creation process.

However, at the beginning of the XXI century, Patrick Jordan (Jordan, 2000) began to daringly analyze this new component – the pleasure,

which represents today an essential element in the design of any object (Jordan, 1998, pp 25-26; Jordan, 2000, p 6) (Fig.1).

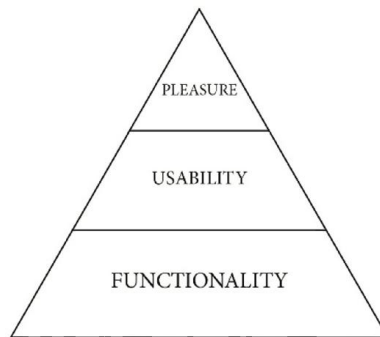


Figure 1. The rankings of consumer needs. Adaptation of Jordan's hierarchy of consumer needs (Jordan, 2000, p 6).

### **Pleasure**

What is pleasure? According to the Oxford English Dictionary (online edition: <http://www.oed.com/>), pleasure is „the condition or sensation induced by the experience or anticipation of what is felt to be good or desirable; a feeling of happy satisfaction or enjoyment; delight, gratification. Opposed to pain.”

A few years before, the Canadian anthropologist Tiger conceptualized four distinct types of pleasure: physical, social, psychological and ideological (Tiger, 1992; Jordan, 2000, pp 13-14; Demirbilek and Sener 2003, p 1351) (Fig.2).

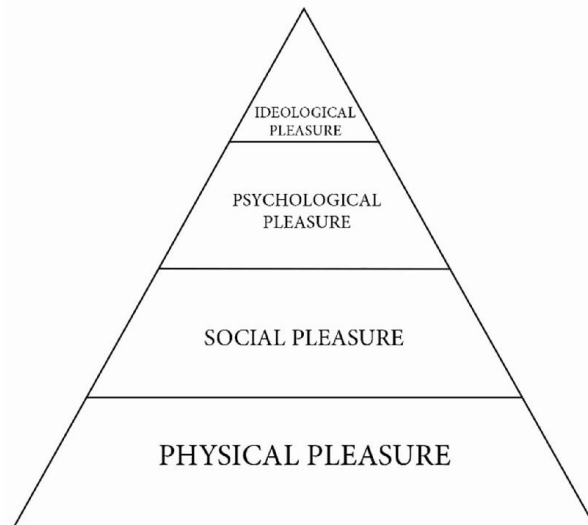


Figure 2. The hierarchy of pleasures conceived according to Tiger's four pleasures model.

*Physical pleasure* is linked to the human body and to the positive feedback of sensory organs. In other words, physical pleasure is the bodily pleasure which incorporates the positive or satisfactory feedback of the sensory organs, responding to the actions of certain triggering factors; for example, tactile, gustatory, olfactory, auditory, visual, sensual pleasure. In terms of product design, the focus is set on tactile and olfactory pleasure (e.g. the feeling the consumer gets while touching a certain product, the occurrence of tactile sensation which may/may not trigger tactile pleasure. How does the interior of a new car smell like? (Jordan, 2000, p 13) Or a new wardrobe? When the first avid whiff is taken in by a new potential buyer, does the explosion of the olfactory pleasure occur or not?)

*Social pleasure* refers to the relationships with others – individuals, groups and society as a whole. Socio-pleasure is generated by the certain aspect of a product, one which ensures a certain social, material or cultural statute to its owner or helps him build a distinct identity and/or stimulate beneficial social interactions. The quality of this product generates a positive feedback to the individual once he owns it, in terms of (his impression of) his image in society.

*Psychological pleasure* (psycho-pleasure) refers to the cognitive interaction of the product owner with its product and to the subsequent emotional reactions. It finds its origins in the products which provide satisfactory results from an emotional point of view, as a result of the cognitive demands of interaction (Jordan, 2000). It was found that significantly more satisfying results, from an emotional point of view, are obtained when the products allow the user to conduct and complete complex tasks, while using reduced cognitive demands (for example, a computer soft).

*Ideological pleasure* is linked to the people's values and ideologies. When it comes to using certain products, this particular type may take many forms, ranging from aesthetic to ethic pleasure. It involves and includes tastes, moral values and personal aspirations, while defining the manner in which people see themselves or how they would like to see themselves. Ideological pleasure arises from a positive relationship between a product "as an art form" and its aesthetic effect on the user's environment. It can also surface in the values incorporated in a product: is its market presence equitable? Is it bio? Durable? Organic? Environmentally friendly? Handcrafted? Cutting edge/modern?

## **Beauty**

What is beauty? According to the Oxford English Dictionary (online edition: <http://www.oed.com/>), beauty refers to several things: a. That quality of a person (esp. a woman) which is highly pleasing to the sight; perceived

physical perfection; attractive harmony of features, figure, or complexion; exceptional grace, elegance, or charm in appearance. b. That quality of a person or thing which is highly pleasing or satisfying to the mind; moral or intellectual excellence. c. That quality of a physical object or animal which is highly pleasing to the sight; perceived physical perfection; exceptional harmony of form or colour. d. That quality of a thing which is highly pleasing to the senses generally.

If we were to consider the beauty of objects, then it can be concluded that they can generate physical pleasure by stimulating the senses, as well as social, psychological and ideological pleasure.

Still, the beauty of a landscape, urban or otherwise, is not an exclusive focus for research and scientific knowledge. Looking at a landscape, an esthetician sees its sublime and its poetry, while ignoring the physical forces, the subordination relations and numbers (Bandiu, 2002, p 74). Apparently, there is a breakage, a rupture between art and science when it comes to observing and understanding a landscape. In fact, this rupture does not exist. There is, however, a double interpretation of (urban) landscape reception and beauty, which can be achieved by two types of language (Bandiu, 2002, p 74): *the scientific language* – impersonal, simple, accurate, transparent, and *the artistic language* – with its unique features, multiple connotations and disobedience of rules, characteristic to the art world.

In order to describe and characterize an urban environment, experts usually use the scientific language. However, if we approach the urban environment from the city aesthetics (*urbicalia*) point of view [urbis (latin) = city; kalos (ancient Greek) = good], we may use both scientific and artistic types of language. The urban landscape can be presented in two different situations: a. as *a concrete and objective reality* which can be described using the terms of exact sciences (geography, ecology, landscape architecture) and as *a subjective reality* located beyond ourselves, a meta-environment in terms of aesthetics, which entails emotional states such as excitement, reverie, admiration, relaxation, happiness (Bandiu, 2002, pp 74-76).

We believe that the urban environment and its beauty should be viewed holistically, using both objective and subjective instances, this approach being the only one capable of ensuring its thorough understanding.

### **Aims and Method**

This paper represents the first step in identifying and analyzing the four types of pleasure connected to the products inserted in the anthropic environment, as well as the innate preference for beauty, conducted in the urban areas of Lisbon, with no claims to have gathered all the relevant



examples for this model-city. The analysis is based on the direct qualitative observations collected in April 2014, during an Erasmus teaching internship in Lisbon, using observation and photography methods for gathering the data. Subsequently, Tiger's four pleasures model/method is used to perform this analysis. The study had 3 main objectives:

- to identify the four types of pleasure in Lisbon's urban space,
- to identify the properties of the urban product/component that generates a certain kind of pleasure,
- to identify the emotional and behavioural feedbacks generated by the 4 pleasure types.

## **Results and Discussion**

### **The four types of pleasures, the anthropic environment and the choice for beauty in Lisbon**

#### **Physical pleasure**

This type of pleasure in the anthropic environment has its origins in those aspects related to physical sense stimulation. In this respect, the material selection for the items, products or utilities found in the anthropic environment is of overriding importance. The materials used can provide a sense of time, space and cohesion for that particular environment. In general, the local materials are used in rural areas, while urban areas are in demand of futuristic, innovative and revolutionary materials, with no particular affiliation (Bardill, Karamanoglu and Herd, 2005).

But what if we used traditional materials, specific for the space located within the urban or anthropic area in which it would be used? For example, we are all familiar with the city bus stations and their metal or plastic benches, designed to deny any physical pleasure, not to mention the others types. What if we designed a few of these bus stations with some hardwood benches displaying that nation's traditional architecture? The wood scent would spontaneously trigger the olfactory pleasure, providing a sense of affinity to that place and why not, an overall good mood.

Through the analysis of this type of pleasure in the city of Lisbon, we identified the famous Portuguese or Spanish painted tile, known as Azulejo (Fig.3). It is an essential component of the Portuguese culture, being in constant production for the past five centuries. It is also produced in South America and the Philippines, both of them former Spanish and Portuguese colonies.

In Lisbon, as in the entire country, *azulejos* can be seen not only in the museum dedicated to its evolution, but also inside and outside churches, palaces, ordinary houses, schools, restaurants and bars, train and metro stations, and so on.



Figure 3. Azulejos in Lisbon - part of the Portuguese history, culture and everyday life

These tiles represent a basic element of Portuguese architecture, which finds its way onto walls, floors and even ceilings. Azulejos is much more than a decorative art form, being part of the Portuguese history, culture and everyday life, their presence strengthening the connection between people and their land or home, as well as stimulating the senses and providing a sense of joy.

### **Social Pleasure**

This particular segment demands special attention. Environments which do not promote a sense of belonging, or the ones which emit messages with negative connotations regarding the position of an individual in society, are prone to negative social relations and even hostile attacks (Bardill, Karamanoglu and Herd, 2005). By its very nature, architecture can promote or discourage crime. Certain apartment buildings (with their dark passages and poorly lit corners) encourage crimes and robberies.

Low levels of socio-pleasure, caused by the lack of design focus on the urban product's humanistic side, will lead to faulty relations between the user and his environment.

In some cases, the surface public transportation stations can become an indicator of the users' social status (Bardill, Karamanoglu and Herd, 2005), sending out negative connotations on the social position of the individual. If the stations are dirty, located in loud places, with endless streams of cars passing by the people using the buses, trams or trolleys, it can sometimes lead to this message: "you have a low social status and this is

what you deserve”. The plastic or metal benches found in each bus station and designed to discourage long-term comfort, can send the following message: “we don’t appreciate you, we don’t care”. The use of flashy primary colours combinations for these bus stations leads to an effortless puerile and inane aesthetic, conducted without any concern for social pleasure. Social pleasure appears and flourishes when social interaction and experience sharing happen in a safe and comfortable environment.

Coming back to Lisbon, the apartment buildings or office buildings covered in eye-catching, smart, ingenious graffiti (Fig.4) send out the message that they belong to the whole community, even though they are located in the centre. Graffiti makes us think of non-conformist young people who are sometimes, unfortunately, rejected by society and who mark their territory with these special drawings. When their art finds its way legally onto central buildings, it basically sends out an acceptance message for these groups: “you are also part of this city/neighbourhood, welcome, brother!”

Lisbon lives and breathes social pleasure, which is developed within the little stylish cafes found on its wide boulevards, places where human interaction is as natural as breathing.



Figure 4. Ingenious graffiti in Lisbon

Youngsters and seniors tango on the little improvised stages in front of the cafes (Fig.5), while tourists make efforts to get rid of their status and simply blend in, even for only a few hours, in order to take in to the fullest the beauty of these urban pleasure mini-entities.



Figure 5. Youngsters and seniors tango in front of the cafes in Lisbon

### **Psychological pleasure**

It is the result of emotionally-satisfying interactions, at a low cognitive price. In the urban/anthropic environment, psycho-pleasure is born from those elements which allow a tacit understanding of the geography and functions of a publicly-available urban complex (Bardill, Karamanoglu and Herd, 2005), without requiring detailed plans and maps consultations for that area.

A first-time visitor will go out into a city and revolve around the main boulevards, central squares and the most important commercial hubs.

Urban landmarks, represented by certain constructions, squares or natural-component urban entities (parks, green areas), are essential for the development /construction of effective mental models, in terms of what a complex city and the geography of its beauty stand for.

These urban/anthropic environment elements, as well as their location, represent the keys to understanding the overall structure of a city, which allow the emergence of efficient mental models, able to ensure high levels of psycho-pleasure.

The study's targeted city, Lisbon, offers its visitors an increased psychological pleasure, with its easy-to-find wide boulevards and squares (Fig.6) and a perfectly functional public transportation system.

For the tourists visiting for the first time, a city map is only needed during the first day – “to be getting lost” or “to be needing a guided tour” is considered nonsense in Lisbon. The openness and kindness displayed by locals bring an important contribution to the city beauty's geography.

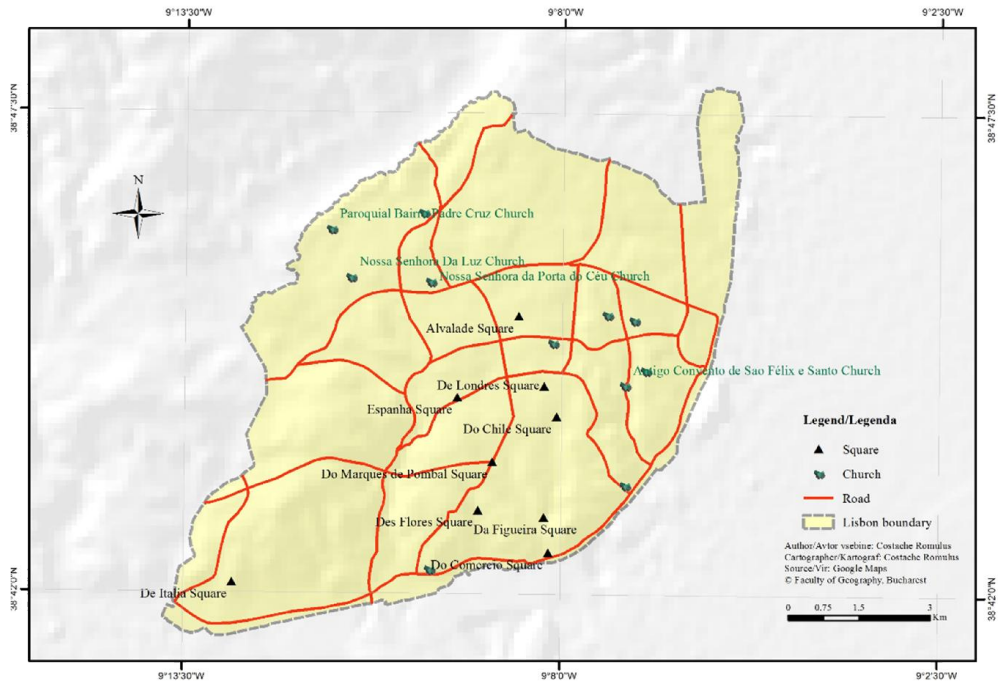


Figure 6. The main boulevards, squares and churches on the map of Lisbon

### Ideological pleasure

It refers to personal values, ranging from aesthetic to ethical. In this regard, the birth of ideological pleasure in the urbanized environment is debatable. The reason is that aesthetic and ethical judgments are personal matters, built from a complex mixture of objective and subjective components (Bardill, Karamanoglu and Herd, 2005), which, in many cases, are likely to be found at opposing poles.

This personally-built pleasure is different from the preceding three, which include elements of history and culture, when generated in the urban/anthropic environment. For example, in Lisbon, the impressive architecture and size of the Catholic churches, as well as the famous town of Fatima located in its vicinity (Fig.7, 8, 9), can provide ideological pleasures for certain visitors.



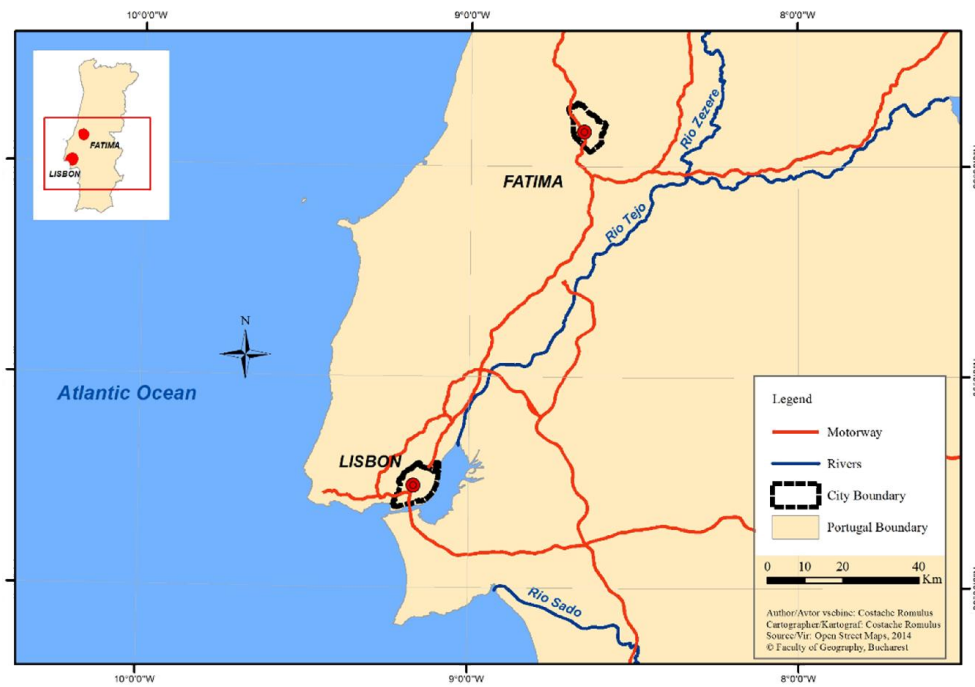


Figure 7. The short distance between Lisbon and Fatima, highlighted on the map

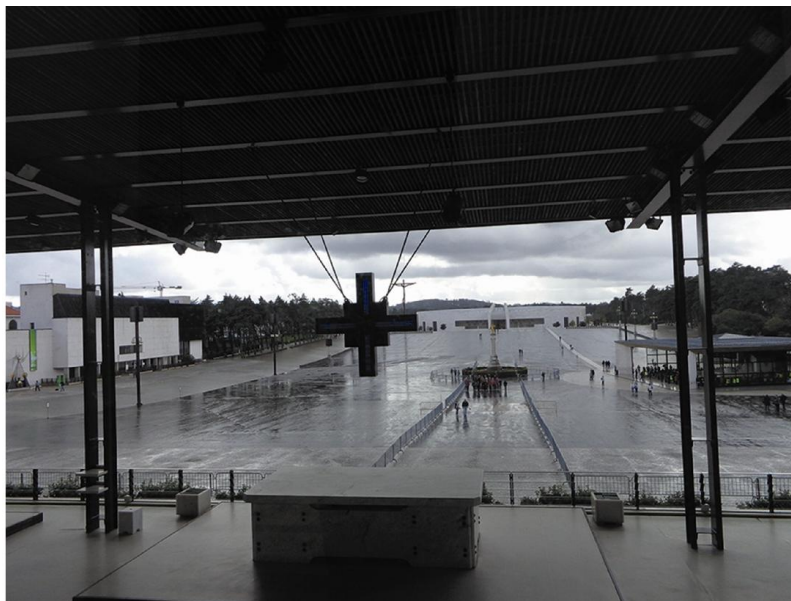




Figure 8, Figure 9. Impressive architecture and spaces in Fatima generating ideological pleasure

Due to the required mixture of objective (related to history and culture) and subjective factors connecting education (religious as well) and ethical and moral values of each person, ideological pleasure concerns each individual at a time, making its approach delicate and difficult.

## Conclusion

The pleasure-based approach of urban design can now be substantially and systematically applied to help create a better environment, in terms of the emotional responses it can incite; this emotional feedback is responsible with building the relationship between the user and his anthropic environment.

The physical, social and psychological pleasures involve elements deeply rooted in history and culture (historical and cultural reference points), when generated by the built environment. These elements, depending on their use in the anthropic environment, can provide a sense of time, space and cohesion for that particular environment, can promote a sense of belonging, or can discourage crime, and they can allow the emergence of efficient mental models, able to ensure high levels of psycho-pleasure.

Still, the ideological pleasure, seen as an individually personalized construction, remains a difficult and delicate subject, due to the subjective factors involved. All these forms of pleasure have been identified in the urban environment of the capital of Portugal, which contribute to the city beauty geography.

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# RETURN FROM UTOPIA: THE MONTALDO COLLECTION AND THE END OF THE ICARIAN DREAM

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## **Abstract:**

In 1848, Étienne Cabet moved to the United States with several hundred followers to implement the utopian society he had envisioned in *Voyage en Icarie* (1840) in American soil. Among the followers of Cabet, there were some Catalans such as Narcís Monturiol, Francisco José de Orellana, Joan Rovira, and Ignacio Montaldo. Rovira and Montaldo joined Cabet in his travel to America from Europe in 1848. In 1992, a retired librarian from Harvard University reported the existence of letters and documents "to and from" Ignacio Montaldo. Copies of these letters, written mainly in French and Spanish, are currently held at the Icarian Studies Center at Western Illinois University. To our knowledge, the letters have not been transcribed, translated or published. This may be attributed to difficulty to understand the letters due to the physical conditions of the documents. The main contribution of this article is the translation into English of the letters of the Montaldo Collection written in Spanish. (1) Finally, the content of these letters will reveal the particular impact that the defeat of the Spanish liberal project of the Progressive Biennium (1854-1856) had for Spanish Icarians.

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**Keywords:** Ignacio Montaldo, Icarians, Nauvoo, Étienne Cabet.

## **Introduction:**

In the middle of the 19th Century, the most populated city in Illinois was not Chicago, but Nauvoo, in the riverside of the Mississippi River. Once settled by Mormons, Nauvoo was the base of the Icarian utopia from 1849 to 1856. The Icarians were followers of French socialist Étienne Cabet (1788-1856), who wrote the book *Voyage en Icarie* published in 1840, where he imagined a perfect religious, communist society. Among the followers of Cabet, there were some Catalans such as Narcís Monturiol, Francisco José de Orellana, Joan Rovira, and Ignacio Montaldo. Rovira and Montaldo joined

Cabet in his travel to America from Europe in 1848. The Icarian settlements include Denton County in Texas, Nauvoo in Illinois, Cheltenham in Missouri, Corning in Iowa, and Coverdale in California. The last settlement in California disbanded in 1886, making the Icarians the longest lasting utopian experiment in the United States.

In May 29 of 1992, Foster M. Palmer, retired associate librarian from Harvard University, reported to the Center for Icarian Studies of Western Illinois University at Macomb, Illinois, the existence of some original letters from Icarians in possession of one descendant of the Montaldo family. According to Palmer, he had the opportunity to meet Mrs. Victor Woronov in Clearwater, Florida in April of the same year. Mr. Palmer reported "a body of letters" from the first Icarians in America from the 19th Century. Palmer managed to make copies of the portion of these letters which in his opinion were "of Icarian interest", but he mentioned that the owner of the documents "has many other letters addressed to Ignacio during this period." As Palmer established in his letter, the owner, Victor Woronov's wife, was in fact great-granddaughter of Ignacio Montaldo (née Carol Montaldo).

After describing the poor conditions in which the letters had been preserved, Palmer also commented: "some of the copies are hard to read because the writing on the other side shows through." In his final observation about the original documents, Palmer considered Carol Montaldo is not "ready to part with them just yet, but she is aware of their historical importance and wants to make sure they are preserved." The seventeen letters and documents copied by Palmer and sent to the Icarian Studies Center at WIU, are described as letters to and from Ignacio Montaldo. These letters conform the Montaldo collection and are among other collections in the Icarian Center such as the Cabet Collection, the Baxter Collection, the Cambre Family Papers, the Dadant Papers, the Marchand Collection, French R. Deane Collection, and the Gauthier Collection.

Despite the description of the letters as "to and from" Ignacio Montaldo, the documents under custody of the Icarian Studies Center consist only in letters to Ignacio Montaldo. Of the seventeen documents in the collection, one is from Étienne Cabet, two are from F. Boissonnet, ten are from A. A. Marchand, and four are from Montando's brothers Perico and Pepe. Only the letters from Ignacio's brothers are in Spanish. The other documents are in French language. The contribution of this article is a brief contextualization of the letters, the *deciphering* of the "hard to read" writings, and the translation into English of the letters. [Fig. 1]

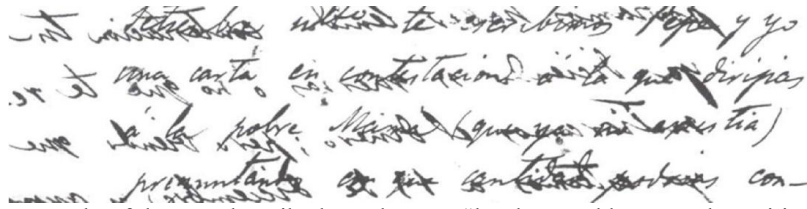


Fig. 1. Example of the text describe by Palmer as "hard to read because the writing on the other side shows through." Image from the 4th letter of the Montaldo Collection.

### The Montaldo Collection

Ignacio Montaldo (1821-1870), was among the Avant-garde wave of Icarians accompanying Cabet in his voyage in 1848. The description of the letters written by Palmer and currently in the Center for Icarian Studies at Macomb are as follows:

1. [Étienne] Cabet to the colony of Iowa, from Nauvoo. May 21, 1856 (French).
2. F. Boissonnet, headed "Citoyens Citoyennes," to the Première Avant-garde (French).
3. F. Boissonnet ? This may be his scrawled signature, very different from the neatly written from using a longs on the document headed "Citoyens Citoyennes." (French).
4. Perico Montaldo in Barcelona to his brother Ignacio Montaldo in "Nauvoo, Etat des Illinois," December 13, 1854. (Spanish).
5. Pepe Montaldo, from Tarragona June 4?, 1856, to his brother Ignacio in Nauvoo. (Spanish).
6. Apparently only the cover was copied, not the letter. (not dated, Spanish)
7. Pepe Montaldo to his bother Ignacio, from Tarragona Aug. 25, 1856. (Spanish)
8. First sheet of letter, probably from Pepe Montaldo to his bother Ignacio. (Spanish). Interesting political commentary. Icaria mentioned at bottom of second page. (Spanish)
9. A. A. Marchand, from Icaria, Adams Co., Iowa, to [Ignacio] Montaldo. June 5, 1866, (French).
10. A. A. Marchand, from Icaria, Adams Co., Iowa, to [Ignacio] Montaldo. November 25, 1866, (French).
11. A. A. Marchand, from Icaria, Adams Co., Iowa, to [Ignacio] Montaldo. December 12, 1866(?), (French).
12. A. A. Marchand, from Icaria, Adams Co., Iowa, to [Ignacio] Montaldo. January 12(12) 1867, (French).
13. A. A. Marchand, from Icaria, Adams Co., Iowa, April 16, 1867, to [Ignacio] Montaldo. Very interesting letter. Not for the only time, Marchand writes quoted material in a totally different style of handwriting.

14. A. A. Marchand, from Icaria, Adams Co., Iowa, to [Ignacio] Montaldo. May 28, 1867, (French).

15. A. A. Marchand, from Icaria, Adams Co., Iowa, to [Ignacio] Montaldo. January 8, 1868, (French).

16. End of a letter, probably to Ignacio Montaldo, from A. A. Marchand. (French).

17. End of a letter, probably to Ignacio Montaldo, from A. A. Marchand. (French).

### **The Letters in Spanish and their translation**

The letters numbered as 4, 5, 6, 7, and 8, are from Ignacio Montaldo's brothers, and are written in Spanish. What follows are the Spanish transcriptions and their corresponding English translations. When the understanding of the letters has been impossible, we have indicated the omission with ellipsis in brackets: [...]

*Letter 4. Perico Montaldo in Barcelona to his brother Ignacio Montaldo in "Nauwoo, Etat des Illinois," December 13, 1854. (Spanish).*

"Barcelona, 13 de Diciembre de 1854.

Mi querido hermano Ignacio. El 22 de septiembre te enviamos Pepe y yo una carta en contestación a la que dirigías a la pobre mamá (que ya no existía) preguntando con qué cantidad podrías contar para venir a España. En ella te hicimos las reflexiones que nuestro cariño nos sugirió para que emprendieras tu marcha que creíamos poco meditada y te marcábamos que en todo caso podrías contar con 6 mil reales o sea 300 duros. Más tarde recibimos otra carta en la que manifestabas tu resolución definitiva de venir a España y no te hemos contestado a ella esperando que en vuelta de la que te escribimos en 22 de septiembre en presencia de la muerte de mamá y del estado político de España del que te dábamos cuenta, meditaras más tu resolución y dieras una contestación pronta que nos sirviese de indudable guía. Según lo que tardan ordinariamente las cartas de ida y vuelta ya en 23 ó 24 de noviembre podríamos haber tenido contestación tuya diciéndonos si querías o no que te remitiéramos el dinero; pero viendo que ya estando a 13 de diciembre y aún no has contestado me determino a escribirte esta repitiéndote lo que en la anterior decíamos Pepe y yo, a saber, que en las actuales circunstancias, sería imprudente y peligrosa tu venida; que en la crisis de subsistencias por que pasamos aquí sería insensato esperar ocupación o modo de volver: que tu venida sería una desafección que te pondría mal a los ojos de tus compañeros políticos y socialistas; y que de todas maneras, obrases como fuese tu voluntad en el bien entendido de que podrías disponer de la cantidad de 300 duros y del cariño de tus hermanos. Como verás por los periódicos la situación es de los moderados congresistas templados y la revolución hasta ahora ha sido una mentira ¡y tantos peligros

como he arrostrado yo! ¡Muy atrasados estamos! Ni un sólo hombre en España digno de una revolución.

Estoy delicado de resultas de un fuerte resfriado, y concluyo saludando a Celina y a tu niña de mi parte y demás de la familia. Tuyo siempre. Perico Montaldo.

***Letter 4. Translation.***

Ignacio, my dear brother. On September 22<sup>nd</sup>, Pepe and I replied to the letter you sent to poor mother (who was by then no longer with us) in which you asked her the amount of funds you could count on to return to Spain. In that letter, we ventured the opinions as dictated by our brotherly love as you were to embark on a journey that, we felt, was ill-advised, and we indicated that in any event you could count on 6 thousand reales, that is 300 duros. We later received another letter in which you communicated your firm decision of coming to Spain and we have yet to reply, hoping that upon receipt of our former dated on September 22<sup>nd</sup>, and in consideration of mother's passing, and of the political situation of Spain such as we described, you may reconsider your decision and you would give prompt reply that could serve us as a firm guide. According to how long letters usually take to go between us, we had expected your reply by November 23<sup>rd</sup> or 24<sup>th</sup>, but seeing as it is now December 13<sup>th</sup>, and we have yet to receive it, I have taken it upon myself to write this to you to repeat what Pepe and I said in our last letter, which is that under the current conditions, it would be foolhardy and dangerous that you come. Because given our current sustenance crisis here, it would be foolish to expect to find an occupation or means to return. That your return could be interpreted as disaffection toward your fellow socialists. And that in any event you should act as you see fit with the understanding that you could count upon 300 duros and the affection of your brothers. As you will see from the newspapers, things are controlled by the lukewarm moderates in Congress, and the revolution has to this day been a lie. And so many perils as I have faced! We are indeed very backwards! Not a man in Spain deserving a revolution.

I'm ill with as a result of a bad cold, and I end here with regards for Celina and your girl from me, and the rest of the family. Always yours, Perico Montaldo.

***Letter 5. Pepe Montaldo, from Tarragona June 4?, 1856, to his brother Ignacio in Nauvoo. (Spanish).***

Ignacio, muy difícil ha de serme escribirte en este sentido, pero la conciencia me lo dicta y nunca falto al sagrado deber por más cruel que me sea su cumplimiento. ¿Será disculpable el egoísmo de mi cariño fraternal si te ocultaba todos sus peligros? No lo fuera ni me perdonaría acallar

torcedores remordimientos. Piensa todo cuanto te digo en esta carta. Perico sigue bueno en Milán habiendo experimentado algunos contratiempos que esperamos que la esposa Adelaida Larumbe [?] haga su salida en algún teatro como dama de canto, y quiera Dios que tenga fortuna en la carrera. El tío sigue valetudinario, la tía y la prima están buenas, y mi esposa continúa sin novedad en su salud. Te escribiré en diciembre y en que inspírate el Cielo una resolución tan acertada como la deseas. Tu hermano que te quiere. Pepe.

***Letter 5. Translation.***

Ignacio, it is hard for me to write this, but my conscience dictates it, and I never avoid my sacred duty regardless of how cruel its observance may be for me. Would the selfishness of my brotherly love be excusable if I were to hide all its dangers from you? It would not, and I would not forgive myself quelling my deep remorse. Think upon everything I tell you in this letter. Perico is doing well in Milan having faced a few setbacks. And we are hoping that his wife Adelaida Larumbe [?] makes her debut as a singer in some theater, and God willing she may find success in that career. Uncle is still valetudinarian, and aunt and the cousins are well. My wife's health remains the same. I will write to you in December hoping that heaven may inspire you to make a resolution as fitting as you wish it to be. Your loving brother, Pepe.

***Letter 6. Only the cover was copied, not the letter. (Not dated, Spanish)***

***Letter 7. Pepe Montaldo to his brother Ignacio, from Tarragona Aug. 25, 1856. (Spanish)***

Mi querido hermano Ignacio: Te incluyo dos letras de los 200 duros como segundas de cambio, y recibirás las primeras por conducto de los señores Puig y Avendaño de Nueva Orleans; mereciéndoles la distinción de que se hayan ofrecido a procurar que el dinero no se extraviará, para cuyo efecto les dejé una firma tuya que corté de una carta. Por el mismo medio recibí[rás] carta mía en la que te explico el estado de las cosa públicas, la imposibilidad de que en España tengas seguridad ni subsistencia, las ventajas que tienes en ese país para procurarte medios de vivir sin trabas ni preocupaciones, y cuanto te conviene fijarte mucho en la parte práctica de la vida para no ver en la miseria a tu esposa y a la hija. Las grandes reformas necesitan muchos años y aún siglos y es preciso que los hombres se atemperen a la actualidad y se procuren [...] pero sin buscar el martirio. En España las cosas siguen al giro general de Europa. Estamos en camino de reacción desde la salida del gobierno de Espartero y la presidencia de O'Donnell.(2) La Milicia Nacional de toda la nación ha sido desarmada. Los hombres de ideas avanzadas separados del poder, y los demócratas o

perseguidos o expatriados o están continuamente vigilados. Terradas murió estando confinado.(3) Cuello fue asesinado.(4) Los Chávez y otros están en el destierro y varios en la emigración. Quizás hayan pecado de confiados pero su desgracia, les hace más dignos de compasiones que de consideraciones. Te bastará para que comprendas que lo que te conviene es procurarte alguna fortuna en esa República en la que tantos Europeos han hecho su suerte. El mismo señor que me ha dado las letras te recomendará a su socio pues me dijo que como catalán se interesaba por sus paisanos, y que hallándose en Nueva Orleans revisando el periódico [de Rovira?]. Desearía que comprendieras que lo que han hecho con vosotros ha sido explotaros y que trabajéis sin ningún beneficio. Si este sacrificio de la familia y lo que has sufrido te sirviere de lección para en adelante, será grande mi alegría. Los señores de Puig y Avendaño tal vez te den algún buen camino y logres vencer las privaciones y sin necesidad de nadie. Perico sigue en Italia con muy pocas esperanzas y sin poder regresar a España al menos por ahora. ¡Qué fatalidad! [...] porque además de que la enfermedad de las viñas da cosecha ninguna de vino, ahora le han puesto un pleito para quitarle el agua. La prima está buena. Yo sigo con mi modesta cátedra y Dios quiera que no tenga ningún tropiezo, viviendo sin [...] y sin deudas ayudado de las economías de mi virtuosa esposa.

Cuando recibas las letras escríbeme en seguida, dime cuales son tus proyectos, piensa mucho lo que resuelvas, no te hagas ilusiones, piensa en tu esposa y en tu hija, no envidies a los que vivimos en esta Nación desgraciada, procura hacer tu suerte. Con cariño a la esposa e hija de parte de mi esposa y de la demás familia, recibe el corazón de tu hermano. Pepe.

### ***Letter 7. Translation.***

My dear brother Ignacio, I'm enclosing copies of two promissory notes for the 200 duros, and you will receive the original notes from Messrs. Puig and Avendaños of New Orleans. Thanking them for the assurance that the money will not be lost. For this purpose I gave them your signature, which I cut out from one of your letters. By the same conduit you will receive my letter in which I explain to you the state of public affairs in Spain, the impossibility of you subsisting and being safe in Spain, the advantages that you have in that country to procure for yourself the means to live without hindrance or worry, and how advantageous it would be for you to mind the practical side of life so as to prevent yourself from one day seeing your wife and your daughter in penury. Great reforms take many years and even centuries, and thus men must adjust to current events and procure for themselves [...] but without seeking martyrdom. Things in Spain follow the overall direction of Europe. We are on the reactionary path since the fall of Esparero's government and O'Donnell's presidency. (2) The National Militia

has been dismantled all over the nation. Men with the most advanced ideas have been separated from power. And democrats are either persecuted, expatriated, or are under continuous surveillance. Terradas died in prison.(3) Cuello was assassinated.(4) The Chavezes and others are in exile and several had emigrated. Those who made the mistake of trusting others are more deserving of compassion than consideration. This should suffice to make to make you understand that it is in your best interest to seek fortune in that Republic in which so many Europeans have made their luck. The same man who gave me the promissory notes will commend you to his partner, for he told me that, as a Catalan, he takes an interest in his compatriots, and that after reading the newspapers in New Orleans [...], he would wish to make you understand that what they have done to you all was to exploit you and make you work without benefit. If this family sacrifice and your past sufferings should serve as a lesson for the future, it will bring me great joy. Messrs. Puig and Avendaño may offer you good advice of what it is to overcome hardship and without help from others. Perico is still in Italy with few hopes and unable to return to Spain, at least for the moment. What misfortune! Because, besides the disease in the vines preventing all harvest of wine, they have started a legal procedure against him to take away his water. Cousin is in good health. I still have my modest teaching post and God willing I will not face any obstacles, living without [...] and without debts, helped by the economies of my virtuous wife.

Write to me as soon as you receive the promissory notes, and let me know what your projects are. Think long and hard before making a decision. Don't fill your head with illusions; think about your wife and daughter. Do not envy those of us who live in this unfortunate nation. Try to make your fortune. With love to your wife and daughter from my wife and the rest of the family. Receive your brother's heart. Pepe.

***Letter 8. First sheet of letter, probably from Pepe Montaldo to his brother Ignacio. (Spanish). Interesting political commentary. Icaria mentioned at bottom of second page. (Spanish)***

Mi querido hermano, [...] tengo en mi poder tus cartas hasta la del 7 de abril y si no te he contestado a ellas no lo atribuirás a la ofensiva sospecha de falta de cariño. Desde que tú me dijiste que estabas resuelto a dejar la colonia y que necesitabas algún dinero, traté desde luego de recabarlo; pero como nuestra querida madre lo había colocado a interés, me ha sido preciso sacarlo dando tiempo a los que lo tenían para buscar la partida, y como el deudor es de Barcelona, todas las gestiones se dilataron más de lo que yo deseo. Quien no me han pagado pero lo considero cosa del pasado tiempo escribiéndote ahora para que desde luego cese la inquietud algún tanto. En el momento que reciba el dinero te remitiré todo.



[...] a Perico remitiéndome alguna corta cantidad para atender a las atenciones de la familia. Ignoro completamente tus proyectos después de abandonar la colonia, pero mucho me temo que te preparas para muchas desgracias. Lo que sí debo advertirte, como hermano. Si quisiéramos que no vengas a Europa y menos a España si no quieres buscarte conflicto y la desgracia de tu esposa y de tu hija. Después de la paz con la Turquía y la Rusia (5) ¿sabes qué hay en Europa? Los [...] que salieron de los tronos que en los tiempos de Luis Felipe era diplomático,(6) se ha convertido en armada y en un provocador en un hipócrita benevolencia al pueblo. Rusia como la Francia se entiende respeto a los gobernantes, [...] esencialmente conservadora parte.

En cuanto a España, adelanta terreno la facción conservadora, las leyes de la Asamblea Constituyente son moderadas,(7) sin larga duración ha quebrantado el poco espíritu democrático que tenía ese cuerpo al instalarse, Espartero (8) se muestra indiferente hablando mucho de Orden que es palabra de explotación y en su gobierno que se dice progresista hace deportaciones y confinamientos mandados por un Capitán General con las espadas más reaccionarias. Por esto te anuncié que me había separado de la política, retirado humildemente en el hogar doméstico. Al ver tanta defección y una corrupción de sentimientos casi general. En la parte material hemos caído en manos del Feudalismo del dinero enteramente a grandes [...]. El crédito mobiliario francés. [...] tres sociedades de fuertes capitales que se han establecido. Aunque mi corazón se quebranta al escribir estas amargas palabras, debo decírtelo: hermano mío, no vengas a España para sufrir la privación y la miseria sin que la honradez baste para escudarte. Tus antecedentes, el pasado de donde vienes y hasta tus hábitos de dignidad, todo, todo te condena en este viejo mundo; y el odio del gobierno, los recelos del rico te ofrecerían la cárcel o la pobreza, sin otro recurso que una nueva y cruel [...]. En esos países en la América del Norte puede un hombre sean cuales fuesen sus ideales vivir con su trabajo, pero no en España cuando por su nombre descubren que es republicano y que ha estado en [...] comprenderás querido [...].

### ***Letter 8. Translation.***

My dear brother, I have your letters in my possession, up to the one dated April 7th. You should not attribute the absence of response to the offensive suspicion of lack of love. From the moment you told me you had resolved to leave the colony and that you needed some money, I of course tried to obtain it, but since our dear mother had lent it, I have had to withdraw it, allowing those who had it to look for the document and because the debtor is from Barcelona, everything took longer than I would have wished. They have yet to pay me but I consider it a matter of time. I am

writing to you now so that your anxiety may be assuaged somewhat. As soon as they pay me I will remit it to you in its entirety.

[...] to Perico, sending me a small amount in appreciation of the family's kindnesses. Your plans after abandoning the colony are wholly unknown to me, but I am afraid you are preparing yourself for great misfortunes. [...] it is my duty as your brother to tell you so. We so wish you wouldn't to come to Europe, and least of all to Spain, if you wish to avoid conflict and your wife and daughter's misfortune. Do you know what is left in Europe, after peace with Turkey and Russia?(5) The [...] who left [...] the thrones from Luis Felipe's time [...] that was diplomatic,(6) has become an armada and a provocateur in a hypocritical benevolence toward the people. Russia, like France, [...] is understood [...] respect toward those in government [...] essentially conservative part.

As for Spain, the conservative faction is taking control, the laws of the Constituent Assembly are moderate.(7) The feeble democratic spirit held by that body when it was created did not last long. Espartero (8) is indifferent, talking much about Order, which is a word of exploitation, and his government, which calls itself progressive, deports and confines, by order of a Field Marshall with the most reactionary swords. That is why I told you I had abandoned politics. I have humbly retreated to my home after witnessing so much defection and an almost generalized corruption of sentiments. As for material matters, we have fallen entirely into Feudalism in great [...] French real-estate property [...] Three societies with large capitals, which have been established. Even if my heart breaks writing these lines, I must tell you this: Brother, do not come to Spain to suffer hardship and penury, from which your integrity will not be enough to protect you. Your background, your past and even your dignity, all of these condemn you in this Old World. And the hatred of the government and the suspicion of the rich would offer you jail or poverty, with no other recourse but a new and cruel [...] Regardless of what his ideals may be a man can live off the fruit of his labor in those countries in North America. Not so in Spain, should they discover by his last name that he is a Republican, and that he has been in [...]. You will understand, beloved [...].

## **Conclusion:**

Long before the International Workingmen's Association and the groundbreaking proposals of Karl Marx, the social impact of the industrial revolution led nineteenth-century Europe into a constant search for new paths of human perfectibility. Utopian socialists like Robert Owen, Charles Fourier, and Étienne Cabet posed new models for human interaction trying to heal the wounds caused by the new capitalist model, the industrial revolution, and the frantic experience of modernity. In *Voyage en Icarie*

(1842), Cabet theorized his perspective of an ideal society and created an actual blueprint to put this model into practice. In 1848, Cabet convinced several hundred followers to implement his utopian society in American soil. According to Víctor Balaguer, the impact of Cabet in Catalonia was such that he had managed to make some young Catalans to “lose their mind” and follow him in his Icarian expedition of 1848 (25). Among them was Ignacio Montaldo.

The Montaldo letters offer an interesting new perspective on the Icarian experience. The letters addressed to Ignacio Montaldo transcribed in these pages are the testimony of a double disillusionment. On the one hand, after the collapse of the Icarian project, Ignacio Montaldo starts to reconsider coming back home to Barcelona and asks for family funding for his long trip home. On the other hand, Perico and Pepe Montaldo write him back with brief but direct accounts of their lack of confidence in the Spanish liberal revolution of 1854, which led to the brief Progressive Biennium (1854-1856). With the dream of a Spanish Republic and a socialist agenda in mind, the Montaldo brothers were doubtful about the limited extent of the social and political transformations that the 1854 revolution would bring, and afraid of the consequences of a much-feared conservative reaction. In their letters, they advise Ignacio to stay in the United States due to their lack of confidence in the success of the revolution. In 1856, Pepe’s letter confirmed their initial fears: Ignacio’s political comrade Abdón Terradas had fallen victim of the conservative counterrevolution. Rather ironically, after the defeat of the Icarian dream and the Spanish revolution of 1854, for the brothers Montaldo, the only dream left standing was the American dream—which required them to forget about the hope of a liberal Spain that had been defeated by the conservative counterrevolution of 1856, and to leave behind the withering ideal of Icaria.

Undoubtedly, the Montaldo Collection deserves more archival research and a profound critical attention. Among other things, it would be necessary to locate the documents in possession of Ignacio Montaldo's great-granddaughter in 1992. A deeper historic contextualization of the letters is also needed. A thorough analysis of the original letters would help us to understand the impact of the Icarian project not only for the actual residents of Nauvoo but for all those nineteenth-century idealists who were also looking for their own shelter from the storm.

### **Acknowledgement:**

To Mary and Robert Baxter, who kindly shared with us the story of their great grandfather Emile, who arrived in Nauvoo in 1885 to join the Icarian commune.

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## Notes:

- (1) This research has been possible thanks to the founding of the Dean's Office of the College of Arts and Sciences of Creighton University, and thanks to the help of faculty and staff of the Icarian Studies Center of the West Illinois University, especially its director Jeff Hancks.
- (2) Leopoldo O'Donnell y Jorriés (1809-1867) was a Spanish general and statesman. He formed the Unión Liberal party.
- (3) Abdón Terradas (1812-1856) was a Republican politician, mayor of Barcelona, and founder of the secret "Patriotic Society." He fought for the República and was confined in Cádiz.
- (4) Francisco de Paula Cuello y Prats (1824-1851) was killed while fighting in a political campaign for the Courts.
- (5) The twelve Russian-Turkish wars date from 1568 to 1918. More likely, the one mentioned here by Pepe Montaldo is the one known as the Crimean War from 1853 to 1856.
- (6) Louis Philippe I (1773-1850) reigned in France from 1830 to 1848 as the leader of the Orléanist party. Conservative. Forced to abdicate in 1848.
- (7) He refers to the parliamentary proposals of the conservative Partido Moderado after the dismissal of the progressive Constitution of 1856, which had been written during the Progressive Biennium. After the counterrevolution of 1856, the Spanish Parliament reinstated the 1845 constitution.
- (8) Joaquín Baldomero Fernández-Espartero y Álvarez de Toro, (1793-1879) was a general and a progressive politician.

# **VALPORIC ACID INDUCES APOPTOSIS AND INCREASES CXCR7 EXPRESSION IN EPITHELIAL OVARIAN CANCER CELL LINE SKOV-3.**

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## **Abstract**

**Background:** The chemokine receptor, CXCR7 is described to play a

biologically relevant role in tumor growth and spread. Recently, it was reported that CXCR7 overexpression is associated with an *unfavorable prognosis* and metastasis of epithelial ovarian cancer (EOC). Aware that, several reports indicated that Histone deacetylases (HDACs) regulate the expression and activity of many proteins involved in both cancer initiation and progression, the aim of this work, was to study the effect of the HDAC inhibitor valproic acid (VPA) on the *expression* of CXCR7 as well as its impact on survival function in the epithelial ovarian cell line (SKOV-3).

**Methods:** cells were cultured with varying concentrations of VPA (1, 2, 3, 4, 5 and 10 mM) for different durations (0, 12 h, 24 h and 48 h). Cell survival was assessed by Neutral red assay and by colony counting which being stained with crystal violet. CXCR7 expression was determined at mRNA level using *quantitative real-time* PCR (qRT-PCR) or at the protein level using western blotting.

**Results:** VPA reduces cell survival of SKOV-3 cancer cells. The inhibition effect of VPA was dose and time-dependent. Exposure to VPA at concentrations above 2 mM at 24 h resulted in an increase expression of CXCR7 at both the mRNA and protein levels.

**Conclusion:** These observations provide, for the first time, a better insight into the epigenetic mechanisms involved in regulating CXCR7 expression in EOC and will open new avenues for evaluating drugs that specifically stimulate the apoptosis of EOC with minimal unwanted side effects.

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**Keywords:** Valproic acid, chemokine receptors, epigenetic regulation, apoptosis, epithelial ovarian cancer cell line SKOV-3.

## Introduction

Epithelial ovarian cancer (EOC) is the sixth most commonly diagnosed cancer among women in the world and the second most common gynecological cancer [1]. EOC is the fifth leading cause of death among women in developed countries due to the continued inability to detect early stage (I) disease [2]. Since, most women with EOC have disseminated disease (i.e. expansion in the abdominal cavity) at the time of diagnosis, chemotherapy is needed to reduce the chance of recurrence. However, many patients gradually develop resistance to the drugs associated with their toxic effects. Hence, identifying some new agents that have better anticancer effect without being toxic is highly appreciated.

Accumulating evidences suggest that chemokines can affect tumour growth either directly, by acting as autocrine and/or paracrine growth factors or indirectly by promoting or inhibiting angiogenesis and inducing tumour metastasis. The best-characterized chemokine in this regard is CXCL12/SDF-1 which acts as an autocrine factor and proangiogenic inducer

of several cancers [3]. For many years it was thought that CXCR4 is the sole receptor for this chemokine. However, in 2005, a second chemokine receptor, CXCR7, was identified, which binds to CXCL12 with high affinity [4,5]. CXCR7 also binds to a second chemokine, CXCL11/I-TAC, one of the ligands for CXCR3 [4]. The chemokine CXCL12 and its receptors, CXCR4 and CXCR7, have been implicated in cancer progression and metastasis [6-9]. Recent studies show an increase in the expression of CXCL12 and CXCR4/CXCR7 in different malignancies, including epithelial ovarian cancer and ovarian cancer cell lines [10-12]. Several studies have also reported that treating cells with histone deacetylase inhibitors (HDI) treatment like valproic acid (VPA) results in an up-regulated expression of many genes [13].

HDIs are potential anticancer agents because of their abilities to alter gene expression, induce apoptosis and growth arrest of tumor cells and stimulate differentiation [12]. It has been demonstrated that VPA could significantly inhibit the growth of various cancer cells including the epithelial ovarian cancer cells, *in vivo*, without toxic side effects [14, 15]. In this study we investigated the effect of VPA on the viability of EOC cells derived from the EOC cell line, SKOV-3. Aware that only little is known, so far, about the mechanisms involved in regulating CXCR7 expression. However, a recent study reported that the histone deacetylase inhibitor (HDI) valproic acid (VPA) increases CXCR7 and CXCR4 expression in Mesenchymal stromal cells derived from cord blood [16]. For this reason, we investigated whether VPA enhances the expression of CXCR7 in the EOC cell line, SKOV-3.

## **Materials and Methods**

### **Cells and Cell Culture**

Human epithelial ovarian carcinoma cell line SKOV3 was purchased from the American Type Culture Collection (ATCC, Manassas, VA) and maintained in RPMI-1640 medium (Sigma Chemical Company) supplemented with 0.1mg/ ml streptomycin, 100 U/ml penicillin and 10% fetal bovine serum (FBS). SKOV-3 was maintained at 37 ° C, under an atmosphere containing 5% CO<sub>2</sub>.

### **Neutral Red Analysis**

Cell viability was performed using Neutral Red assay based on the initial protocol as described earlier [17, 18]. Neutral Red, a chromogenic dye, is an indicator of lysosomal activity. Live cells demonstrate a chromogenic change with Neutral Red that is detected spectrophotometrically. Briefly, cells were detached from the tissue culture flask with 2 ml of trypsin solution. The cell pellet was obtained by

centrifugation at 1.000 rpm for 5 minutes. The density of the viable cells was counted by the trypan blue exclusion in a haemocytometer. Cells were then plated in 96-well microtiter plate, at a concentration of  $8 \times 10^3$  cells/well and incubated in a humidified 37°C, 5% CO<sub>2</sub> incubator that allows the cells to adhere. After 24 h, the cells were treated with six different concentrations of Valproic acid (VPA): 1, 2, 3, 4, 5 and 10 mM each being tested in three replicates. VPA were purchased from Sigma-Aldrich. The plates were incubated for 24 and 48 h at 37°C in a 5% CO<sub>2</sub> incubator. The untreated cells were regarded as a negative control, whilst cells incubated only with ethanol (0.5%, v/v) were used as a vehicle control. No effect due to the ethanol was observed. At 24 and 48 h, the old medium was replaced with 100 µl of fresh medium containing 40 µg/ml neutral red and incubated for 3 h. This is to allow the uptake of the vital dye into the lysosomes of viable and undamaged cells. Then, the media was discarded and cells were washed twice with 100 µl of 1X PBS. The intracellular accumulation of neutral red dye was extracted in 200 µl of a 50% ethanol-1% acetic acid lysing solution.

The optical density (OD) of the eluted dye was read at 490 nm using a microplate reader. The experiments were conducted in triplicates. The percentage of inhibition of each of the test samples was calculated according to the following formula using the OD values obtained: **Percentage of inhibition (%) = (OD control – OD sample)/OD control × 100.**

#### **Focus formation assay- Staining of colonies**

One hundred cells/well were seeded in 6-well plates and incubated at 37°C, 5% CO<sub>2</sub> for 24 hours. Following a 24-hour incubation, various concentrations of VPA were added for different durations (0, 12 h, 24 h and 48 h). After 10 days, the content of each well was removed and the colonies were washed twice with 500 µL of sterilized water, to remove cells weakly adhered. The attached colonies was quantified using crystal violet staining at 5mg/ml in 25% methanol [19-21]. Briefly, 500 µL of a solution sodium acetate/formalin 2% were distributed in each well, in order to fix the adhered cells, and left for 15 min. After this time, the solution sodium acetate/formalin 2% was removed and 500 µL of crystal violet were added to each well. After approximately 20-30 min, the stain was removed by washing the wells three times under cold water and the plates were left at room temperature to dry before colony counting. The colony formation are counted manually with naked eye.

#### **Total RNA extraction**

$2 \times 10^5$  cells/well were seeded in 6-well plates and incubated at 37°C, 5% CO<sub>2</sub> for 24 hours. Following a 24-hour incubation, various concentrations of



VPA (1, 2, 3, 4 and 5 mM) were added for different durations (0, 12 h, 24 h and 48 h). Cell line was homogenized using *TriPure* reagent (Roche, USA) following the manufacturer's instructions. After complete dissociation of nucleoprotein complexes, phase separation was achieved with chloroform and centrifugation. The precipitated RNA from the aqueous phase was washed with 75% ethanol. The RNA was dried and dissolved in RNase-free water. The amount and quality of the extracted RNA were assessed by spectrophotometry using NanoDrop.

### **Western blot analysis**

SKOV-3 cells were seeded at  $0.7 \times 10^6$  per 25 cm<sup>2</sup> plate overnight. The next day VPA was added to cells at various concentrations (2.5, 5, 10 mM) for 24 h. Total cell lysate was prepared using the lysis buffer RIPA (150 mM NaCl, 0.1% SDS, 0.5% sodium deoxycholate, 1% NP-40, 50 mM Tris, pH 8, 20 mM, NaF, 2 mM EGTA, 0.5% levamisole, 1 mM NaVO<sub>4</sub>) (Roche). Protein concentration was determined using Bradford method (Bio-Rad). The protein complexes were separated on 10% gradient SDS-PAGE gel. Membrane was incubated with CXCR7 (Sigma) and GAPDH (Sigma) primary antibodies. Proteins were detected using ECL detection kit (Bio-Rad) according to the manufacturer's protocol. The immune complexes were visualized with the use of the ECL Plus kit (Amersham) according to the manufacturer's protocol. The autoradiographs obtained were scanned and the band intensity quantified utilizing TotalLab software (Nonlinear Dynamics, Newcastle on Tyne, UK). All bands were normalized with respect to GAPDH.

### **Quantitative RT-PCR studies**

Total RNA was isolated from SKOV-3 cells treated with 1, 2, 3, 4 and 5 mM VPA for different durations (0, 12 h, 24 h and 48 h). First strand cDNA was synthesized with 1  $\mu$ g of total RNA using kit iScript<sup>TM</sup> (Bio-Rad). We amplified the resulting cDNA by real-time PCR on a Bio-Rad Mini Opticon real-time PCR system, with the IQ SYBR green supermix kit (Bio-Rad). The data were analyzed with Opticon Monitor 3 software (Bio-Rad). EF-1 alpha was used to normalize samples. The primers used were as follows: CXCR7 (forward: 55'-TGCATCTCTTCGACTACTCAGA- 3', reverse: 5' GGCATGTTGGGACACATCAC-3') and EF-1 alpha (forward: 5'- CTGAACCATCCAGGCCAAAT- 3', reverse: 5'- GCCGTGTGGCAATCCAAT- 3').

### **Statistical analysis**

All results were presented as mean  $\pm$  standard error of the mean (SEM). Statistical analyses were performed using GraphPad Prism 5

(GraphPad Software Inc., CA, USA). Two-way ANOVA was used to calculate *P* values (*p*). Groups that are significantly different from control are indicated in the figures as \*  $p < 0.05$ , \*\*  $p < 0.01$  and \*\*\*  $p < 0.001$ .

## Results

### VPA reduces cell survival of SKOV-3 cancer cells

Previous studies suggest that VPA is effective on EOC cell lines [14]; therefore we examined its effect on SKOV-3 cells [14, 22]. First we tested whether VPA could have any effect on SKOV-3 cell growth.

Upon using the Neutral Red Cytotoxicity/ Viability Assay to measure the viability of the SKOV-3 cells, an evaluation of the antiproliferative activity of various concentrations of VPA (1, 2, 3, 4, 5 and 10 mM) was performed after 24 and 48 hours of treating this cancerous cell line. The neutral red assay shows that the VPA has no significant antiproliferative effect after 24 h and 48 h of treatment at a concentration of 1 or 2 mM. The percentage of survival inhibition was increased by 13-fold after 24 h and by 23-fold after 48 h of treatment with 3 mM VPA (Figures 1 and 2). The percentage of survival inhibition reached 19, 28 and 44-fold increase, at the concentration of 4, 5 and 10 mM, respectively after 24 h of VPA treatment (Figure 1 and 2A). VPA also significantly increased the percentage of survival inhibition after 48 h by 45-fold and 60-fold at the concentration of 4 and 5 mM of VPA, respectively (Figure 1 and 2B). The highest antiproliferative activity ( $p < 0.001$ ) on the SKOV-3 cell line was 73-fold increase at 10 mM VPA after 48 h (Figure 1 and 2B). The percentage of survival inhibition was compared to untreated cells. The antiproliferative activity was further confirmed by another technique based on colony counting which being stained with crystal violet.

SKOV-3 cells did not show significant effects in colony formation after 12 h of VPA treatment with 1, 2, 3, 4 and 5 mM (Figures 3A and 4). When treated with 3, 4 and 5 mM VPA at 24 h, SKOV-3 cells showed significant decrease in colony formation ( $p < 0.001$ ) by 73-fold, 74-fold and 89-fold, respectively (Figures 3B and 4). When treated with 2, 3 and 4 mM VPA at 48 h, SKOV-3 cells showed significant decrease in colony formation by 79-fold, 82-fold and 83-fold, respectively (Figures 3C and 4). The highest inhibition activity of SKOV-3 colony formation ( $p < 0.001$ ) is 95-fold with 5 mM VPA at 48 h (Figure 3C and 4). The inhibition of colony formation was compared to untreated cells. Taken together these data suggest that this drug inhibits cell viability of SKOV-3 in a dose- and time- dependent manner (Figures 1-4).

### VPA Increases the Gene and Protein Expression of CXCR7 in SKOV-3

Next, we tested the effect of VPA on CXCR7 mRNA/protein

expression. Western blot assay revealed that CXCR7 protein was induced with 2.5 mM TSA at 24 h (Figure 5). The induction of CXCR7 mRNA was further confirmed with quantitative RT-PCR. The result of quantitative RT-PCR shows that the VPA has no significant effect in CXCR7 mRNA expression after 24 and 48 h of treatment at 2, 3, 4 and 5 mM (Figure 6). Likewise, 1 mM VPA has no significant effect in CXCR7 mRNA expression after 48 h of treatment (Figure 6). Four-fold induction of CXCR7 mRNA at 1mM VPA was observed after 12 h treatment (Figure 6). We observed nine-fold induction of CXCR7 mRNA at 3 mM VPA, two-fold increase induction at 4 mM VPA and seven-fold increase induction at 5 mM after 48 h treatment (Figure 6), suggesting that VPA activates CXCR7 transcription. These results are consistent with the induction of CXCR7 by VPA in blood mesenchymal stromal cells [16, 23].

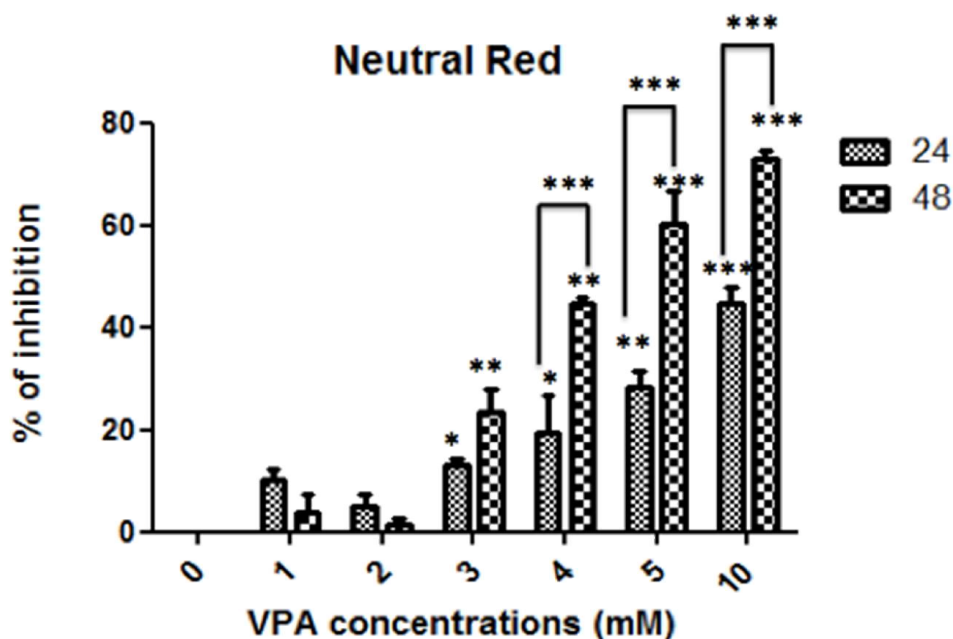
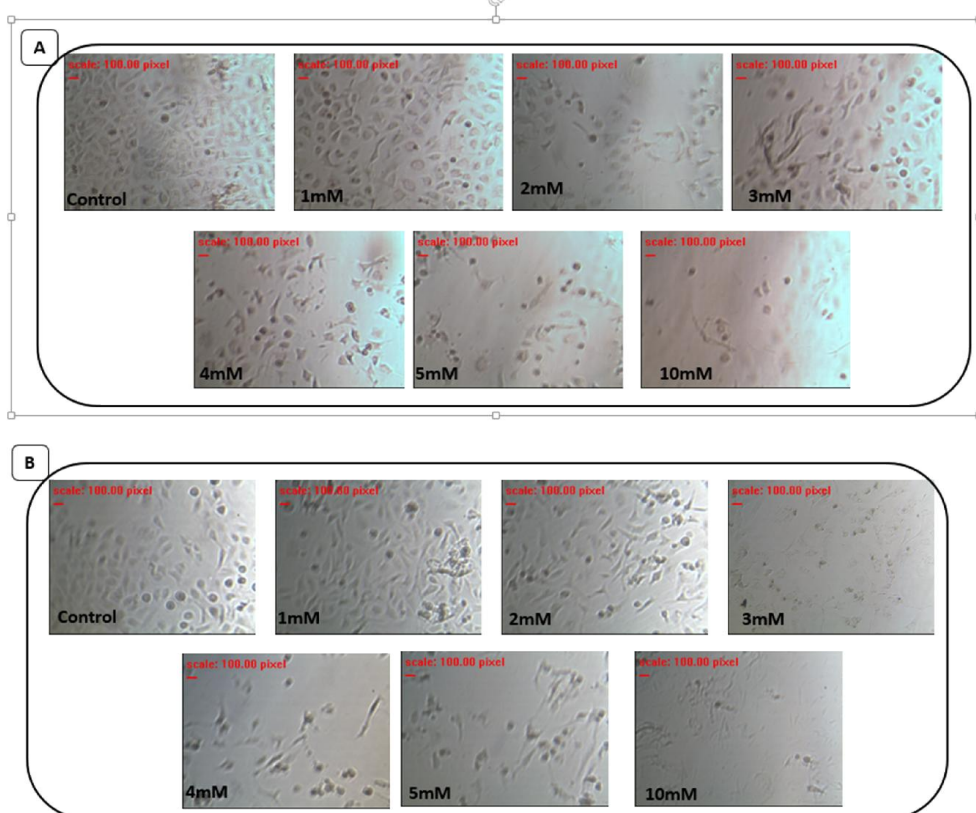


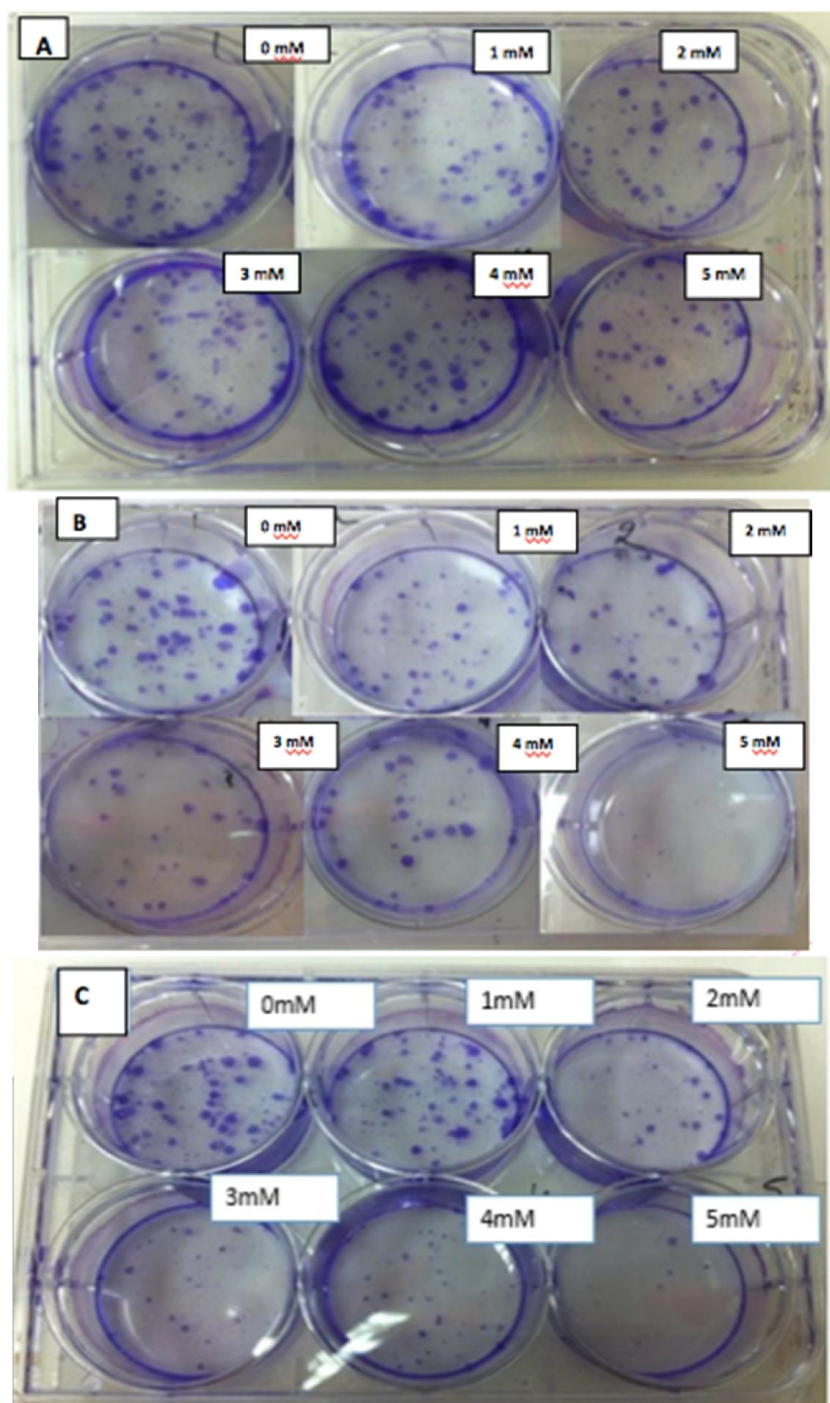
Figure 1: Valproic acid (VPA) affect the survival of the SKOV3 cells.

The SKOV3 cells were incubated with different concentrations of VPA (1, 2, 3, 4, 5 and 10 mM) for 24 and 48 hours. Cell viability was estimated by the neutral red (NR) test. The harvested cells are exposed to the dye (NR). The cells are lysed and the optical density (OD) is measured at 490 nm. % Inhibition =  $\frac{\text{OD (optical density) of non-treated cells} - \text{OD of treated cells}}{\text{OD of non-treated cells}} \times 100$ . Results represent % inhibition of cell survival of SKOV3 cells compared to control. Experiments were done in triplicates and results represent the mean  $\pm$  SEM of three independent

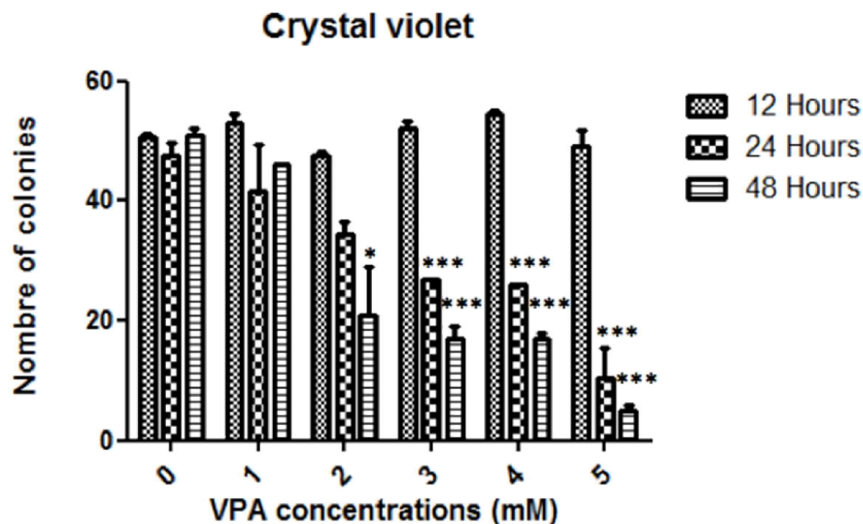
experiments. \*  $p < 0.05$ ; \*\*  $P < 0.01$ ; \*\*\*  $P < 0.001$  (Two-way ANOVA).



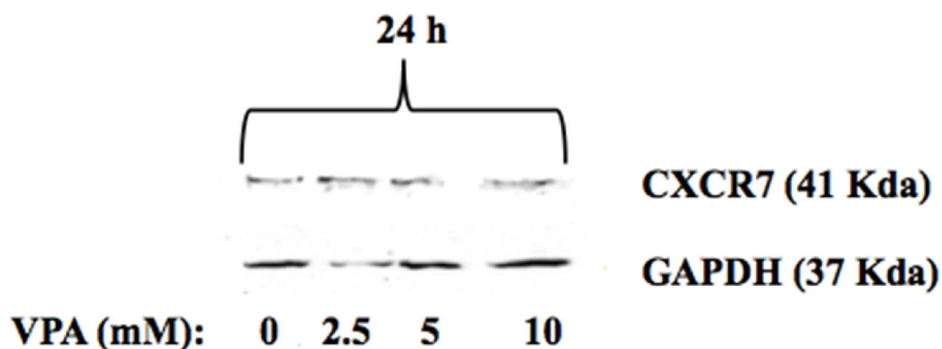
**Figure 2:** Microscopic view of SKOV-3 cells after 24 (A) and 48 hours (B) incubation with increasing concentrations (1, 2, 3, 4, 5 and 10 mM) of VPA. The results presented are from one experiment representative of three carried out, and were photographed with a microscope ( $\times 40$ ).



**Figure 3: Cell colonies (SKOV3) formed after VPA treatment.** SKOV-3 was treated with 0 (control), 1, 2, 3, 4 or 5 mM of VPA for 12 (A), 24 (B) or 48 h (C). After 10 days, colonies were stained with crystal violet. The colony formation are counted manually with naked eye.

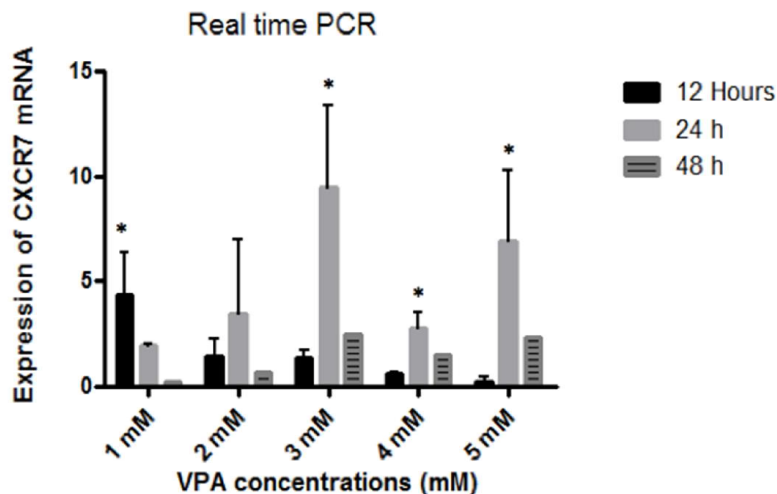


**Figure 4: Treatment with valproic acid (VPA) affects the clonogenic survival of the SKOV3 cells.** SKOV3 cells were incubated with different concentrations of VPA (1, 2, 3.4 and 5 mM) for 12, 24 and 48 hours. Clonogenic survival was made by counting cell colonies. The colony formation on the 6-well plates seeded with 100 cells after 10 days, are counted manually with naked eye after staining with crystal violet. Results represent the number of clones of SKOV3 cells compared to control. Error bars represent standard error of the mean (SEM). \*  $p < 0.05$ ; \*\*  $P < 0.01$ ; \*\*\*  $P < 0.001$  (Two-way ANOVA).



**Figure 5: Effect of VPA on the protein expression of CXCR7.** Whole cell lysate of SKOV-3 was prepared after 24 hours of exposure to VPA (2.5, 5 and 10 mM). The proteins were extracted in RIPA as described in the Materials and methods. 100  $\mu$ g of each extraction were loaded into separate lanes of a 10% SDS-polyacrylamide gel electrophoresis and after transfer to nitrocellulose membranes were probed with antibodies against CXCR7. GAPDH was used as a control to ensure equal loading.





**Figure 6: Effect of VPA on the expression of CXCR7 mRNA.** CXCR7 mRNA levels were quantified by real-time PCR and are expressed as CXCR7 content normalized to that of EF-1 alpha. The cells were treated or not with 1, 2, 3, 4 and 5 mM VPA for 12, 24, 48 hours. Error bars represent standard error of the mean (SEM). \*  $p < 0.05$  (Two-way ANOVA).

## Discussion

Ovarian cancer is the fifth most deadly cancer in women [2]. Chemotherapy is effective against advanced ovarian cancer, but this treatment must be adjusted because of its serious side effects. Therefore, identifying new treatments with better anticancer effect without toxicities are highly needed. With the development of agents with epigenetic effects involved in transcriptional regulation, cell growth, apoptosis, differentiation and proliferation, researchers started to seriously study these agents as a potential new cancer treatment [12].

Deregulated activity of histone deacetylases (HDAC) is usually observed in many cancer types. Treatment with HDAC inhibitors (HDACIs) can suppress cell proliferation and differentiation and induce apoptosis of ovarian cancer cells suggesting that HDACs are required to maintain cancer cell survival [24-26]. However, the role of HDAC inhibitors in regulating gene transcription that support tumor properties is poorly understood. Some studies show that the anti-proliferative activity of HDACIs is a result of cell cycle arrest in G1 that is associated with the increased expression of the cyclin-dependent kinase (cdk) inhibitor p21<sup>WAF1/CIP1</sup> [27-28]. Among different HDACIs, valproic acid (VPA) is most commonly studied for its effect on cell growth arrest [29].

Valproic acid has been widely used in the treatment of seizure disorders and for the treatment of bipolar depressive and epileptic illness [30]. A new study shows that VPA, even at low concentration, serve as an

effective inhibitor of HDACs. VPA can interrupt tumor angiogenesis and metastasis of EOC by down regulating the VEGF protein and up-regulating E-cadherin protein and MMP-9 protein [14]. In *vivo*, the role of VPA becomes very important especially in the inhibition of cancer cell migration, angiogenesis and invasion [31-33]. A recent study shows that VPA can significantly inhibit the growth of the epithelial ovarian cancer cells in *vivo*; this antitumor activity was not accompanied by any major side effects [14]. Such observation enabled us to check whether VPA could have similar effects on the survival of EOC cell lines, SKOV-3.

The standard treatment for ovarian cancer is surgery followed by platinum based chemotherapy (e.g., DDP or cisplatin). This treatment is associated with high response rates. However, the disease is characterized by recurrence and the subsequent development of resistance to chemotherapy [34]. Some studies showed that HDACIs increase the efficiency of several anticancer drugs that target the DNA [35-37]. Interestingly, one report [38] indicated that VPA exhibits synergistic cytotoxicity with cisplatin and can also resensitize the cells that have acquired resistance to cisplatin in all of the ovarian carcinoma cells tested. The cotreatment with VPA was shown to upregulate the cisplatin-mediated DNA damage [38].

In this study we found that the viability of SKOV3 cells was significantly inhibited by VPA in a dose and time dependent. Our study shows that the VPA has an antiproliferative effect on cancer cells. Because so little is known about the anticancer mechanisms triggered by VPA, future studies are necessary to better understand the mechanism of cell death induction by VPA.

Chemokines are important in the pathogenesis of several tumors. Early studies demonstrated an evident correlation between the expression of chemokine receptors and the tumor growth, angiogenesis, and metastasis in various human malignant tumors. The chemokine SDF-1 and its receptors, CXCR4 and CXCR7, are implicated in cancer progression, angiogenesis and metastasis [6-9]. Recent studies reported an increase in the expression of CXCL12 and CXCR4/CXCR7 in different malignancies, including epithelial ovarian cancer and ovarian cancer cell lines [10-12]. Several studies have also reported an up-regulated expression of many genes after treating cells with a histone deacetylase inhibitor (HDI) like VPA [13]. However, how these HDAC inhibitors affect the transcriptional network that sustain tumor properties is still poorly understood. A recent study reported that valproic acid (VPA) increases CXCR7 and CXCR4 expression in Mesenchymal stromal cells derived from cord blood [16]. For this reason, we decided to study the effect of valproic acid on CXCR7 gene expression in the EOC cell line, SKOV-3. Our results revealed that the expression levels of CXCR7 protein /mRNA were significantly enhanced in the presence of 2.5 to 3 mM



VPA for 24 h. This study suggests that VPA could be a potentail and novel attractive agent for treatment of epithelial ovarian cancer.

### **Acknowledgement**

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### **Abrevations**

Epithelial ovarian cancer (EOC), histone deacetylases (HDACs), valproic acid (VPA), histone deacetylase inhibitor (HDI), fetal bovine serum (FBS), optical density (OD), standard error of the mean (SEM), cyclin-dependent kinase (cdk).

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## **THE AIDS EPIDEMIC IN SOUTH FLORIDA: BLACK NON-HISPANICS IN OUR COMMUNITIES REMAIN INCREASINGLY VULNERABLE**

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### **Abstract**

**Objective.** Demographic variables of individuals with AIDS were compared during two time periods (1993 - 1995 and 2011 - 2013). Incidence and mortality related data was also explored.

**Methods.** This is an observational study. Tests of significance were performed to identify differences or associations between selected groups. A correlation analysis was conducted to identify relationships between AIDS diagnosis and socioeconomic indicators.

**Results.** A reduction in new AIDS cases reported and AIDS-related mortality were observed. Nonetheless, AIDS is still disproportionately affecting the Black Non-Hispanic population. Black Non-Hispanic women remain particularly vulnerable to the disease. A positive correlation between AIDS diagnosis and poverty rate and the lack of health insurance and a negative correlation between AIDS diagnosis and education level was identified.

**Conclusion.** Though the actual number of AIDS cases is declining, it continues to disproportionately discriminate against our poorer, less well educated communities. Despite the availability of improved medications, people in these communities remain particularly vulnerable.

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**Keywords:** AIDS, Disparities, Socioeconomic, Minority, Poverty

## Introduction

The first cases of the disease now known as Acquired Immune Deficiency Syndrome (AIDS) were reported by the Center for Disease Control and Prevention (CDC) over 30 years ago (Centers for Disease Control and Prevention [CDC], 1981). Human Immunodeficiency Virus (HIV)/AIDS was initially diagnosed as Kaposi's Sarcoma and *Pneumocystis pneumonia* in a population of previously healthy men, 94% of whom self-reported their sexual preference as homosexual or bisexual (CDC, 1981). Nowadays however it is well established that AIDS is not confined to homosexual or bisexual men. In fact, heterosexual contact now plays a significant role in continuing the worldwide AIDS epidemic, and specifically the spread of the disease throughout the United States including Miami-Dade County and South Florida (Beck et al., 2012). In particular, heterosexual contact is the primary mode of HIV/AIDS transmission to women. This is significant since women represented 32% of all reported AIDS cases and 25% of all reported HIV cases in Florida in 2010 (Florida Department of Health [FDH], 2010) and almost a quarter of all HIV/AIDS cases nationwide (FDH, 2010).

Though HIV/AIDS is not confined to homosexual or bisexual men, globally men who have sex with men (MSM) remain at the most significant risk of HIV infection (Beyrer et al., 2010). In the United States, HIV infection in MSM is increasing by 8% annually (CDC, 2010) and this population now accounts for almost 50% of all the individuals living with HIV/AIDS and for 53% of all new HIV infections (CDC, 2012). The greatest prevalence and the highest incidence of HIV infection in MSM is found in Black MSM (Harawa et al., 2004). Throughout this article the term Black is used to include African Americans, Caribbean Americans, Africans and others who may not self-identify as "African Americans" but who are included in all HIV/AIDS surveillance data as such (Sutton et al., 2009). This high risk population of young Black MSM is difficult to reach, at least in part, due to the stigma associated with HIV/AIDS infection, belief in myths associated with prevention and transmission of HIV/AIDS (Beck et al., 2012), and in some parts of the world the threat of imprisonment.

This study provides a comparison of selected demographic variables and risk factors associated with individuals with AIDS during two three year periods (1993, 1994, 1995 and 2010, 2011, 2013) in Miami-Dade County, Florida. In addition, an interpretation of the most recent AIDS incidence and AIDS-related mortality data was provided. This is significant since according to the Florida Department of Health, Bureau of HIV/AIDS, Miami Dade County ranks first in the nation with the highest number of new AIDS cases per capita in the United States, and Florida ranks third in the nation in the number of persons living with AIDS. This study is timely since it coincides

with the recent development and release of the National HIV/AIDS strategy for the United States (NHAS) in response to the domestic AIDS epidemic that is disproportionately affecting minority populations.

## Methods

This is an observational study of the AIDS epidemic in Miami-Dade County. Two three-year periods were selected for comparison: 1993, 1994, 1995 and 2010, 2011, 2013. The data were obtained from the State of Florida Department of Health, Bureau of HIV/AIDS (2012). The 1993 selection as the first year of the triennial was based on the CDC, HIV/AIDS criteria modification that took place during that year and 2013 is the last year for which complete data is available. The Statistical Package for Social Sciences (SPSS 21®) was used to organize, validate and analyze the data collected. Indicators of central tendency and dispersion: medians, means, standard deviations, standard errors of the mean, and 95% confident intervals were determined for quantitative variables, while frequencies and percentages were established for qualitative variables. The Chi-Square test or Fisher's exact test were used to identify differences in proportions or associations between categorical variables. Student's *t*-tests and Analysis of Variance (ANOVA) were performed in order to detect significant differences between selected groups. A correlation analysis was performed to identify significant relationships between AIDS diagnosis and selected socioeconomic indicators at the State level. A level of significance of 0.05 was selected for all tests of hypothesis.

## Results

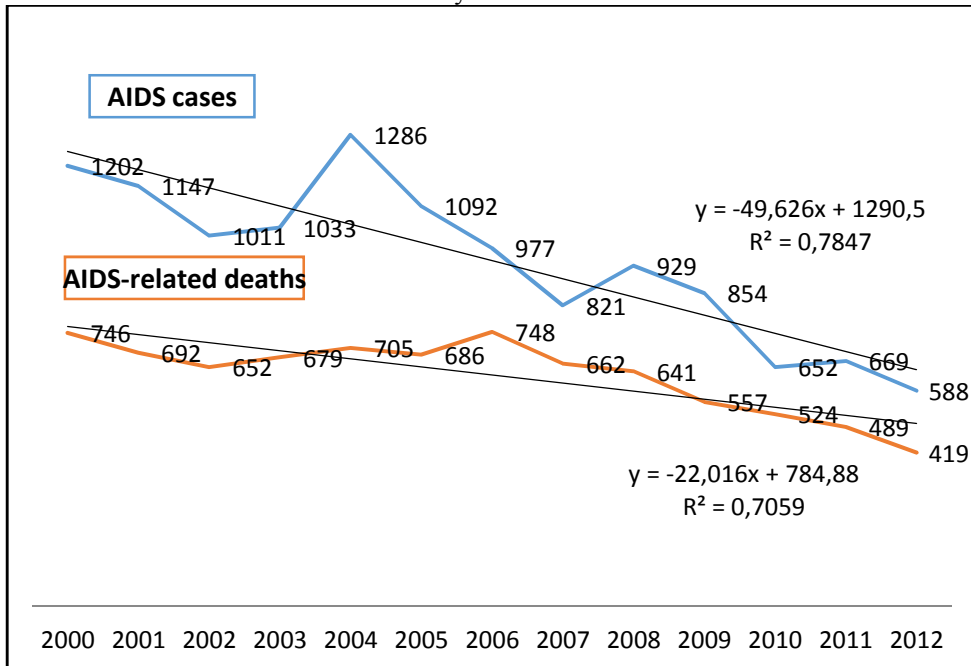
Analysis of the data from the State of Florida Department of Health, Bureau of HIV/AIDS revealed a total of 6,811 new AIDS cases reported during the first triennial period (1993, 1994 and 1995) and 1,829 new AIDS cases reported in the second triennial period (2010, 2011 and 2013) (table 1). In addition to this 72% reduction in incidence, there was a 93% reduction in AIDS-related mortality between these two triennial periods.

Table 1. The number of new AIDS cases diagnosed and deaths reported in triennial periods 1993 – 1995 and 2010 – 2013.

	New AIDS cases reported	Number of Deaths Reported
1993, 1994 and 1995	6811	2432
2010, 2011 and 2013	1829	164
<b>Relative Difference</b>	<b>-72%</b>	<b>-93%</b>

There has been a steady decline in both incidence and AIDS-related mortality in Miami-Dade County over the past decade (figure 1).

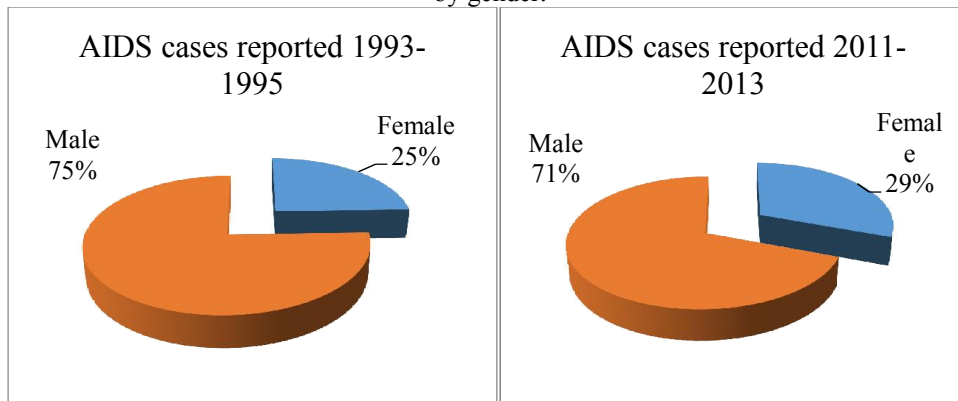
Figure 1. The number of new AIDS cases reported and AIDS-related mortality in Miami-Dade County from 2000 to 2012.



## Gender

On comparing the two triennial periods, both the incidence of AIDS and AIDS-related mortality are reduced (table 1). However, the proportion of new female AIDS cases diagnosed in Miami-Dade County significantly increased from 25% in the 1993 - 1995 triennial, to 29% in the 2011 - 2013 triennial,  $\chi^2_{(1)} = 12.8$ ,  $p < 0.001$  (Figure 2) as did the proportion of women dying of the disease from 21.1% (1993 - 1995) to 32.0% (2011 - 2013),  $\chi^2_{(1)} = 72.5$ ,  $p = 0.000$ .

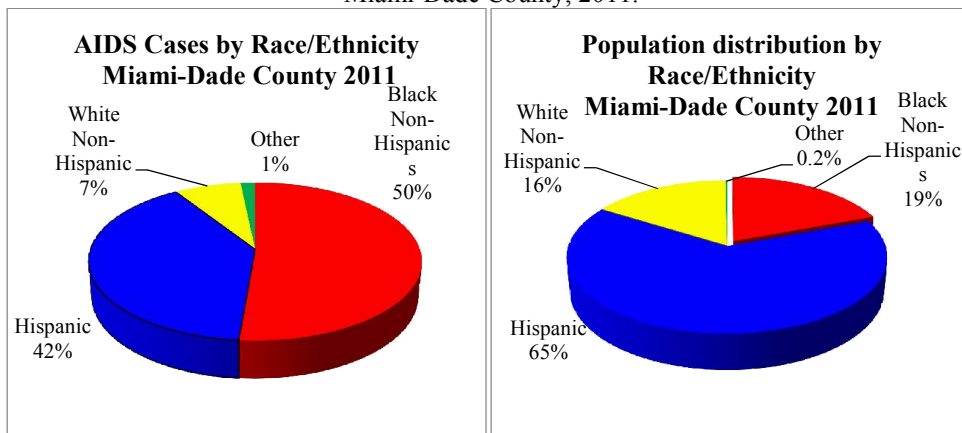
Figure 2. New AIDS cases reported in Miami-Dade County, 1993 - 1995 and 2011 - 2013 by gender.



## Race/Ethnicity

According to the United States Census Bureau, the total population of Miami-Dade County in 2011 was 2,554,766. The majority (65%) of the population of Miami-Dade County in 2011 was of Hispanic or Latino origin (figure 3). The Black Non-Hispanic and White Non-Hispanic population of Miami-Dade County in 2011 represented 19% and 16% of the total population respectively. Though the Black Non-Hispanic population represented less than 20% of the total population of Miami-Dade County in 2011, this racial/ethnic group represented around 50% of all new AIDS cases reported in the County during the last triennial studied, 42% of reported cases were Hispanic and 7% were White Non-Hispanic (figure 3).

Figure 3. The proportion of AIDS cases by Race/Ethnicity compared to the population of Miami-Dade County, 2011.



Analysis of the two triennial periods revealed that the disparity among ethnic groups has widened over time. The proportion of Black Non-Hispanic AIDS cases reported in Miami-Dade County increased from 47% (1993 - 1995) to 49% (2011 - 2013) as the proportion of new AIDS cases reported by Hispanics significantly increased from 36% to 43% while the proportion of new AIDS cases reported by White Non-Hispanics decreased from 15 % to 7%,  $\chi^2_{(2)} = 91.9$ ,  $p < 0.001$ . Furthermore, the proportion of all AIDS-related deaths due to Black Non-Hispanic mortality notably increased from 47% (1993 – 1995) to 58% (2011 – 2013) as the proportion of AIDS-related mortality due to White Non-Hispanic and Hispanic deaths decreased over the same time period from 35% to 31% and 17% to 9% respectively.

## Gender and Race/Ethnicity

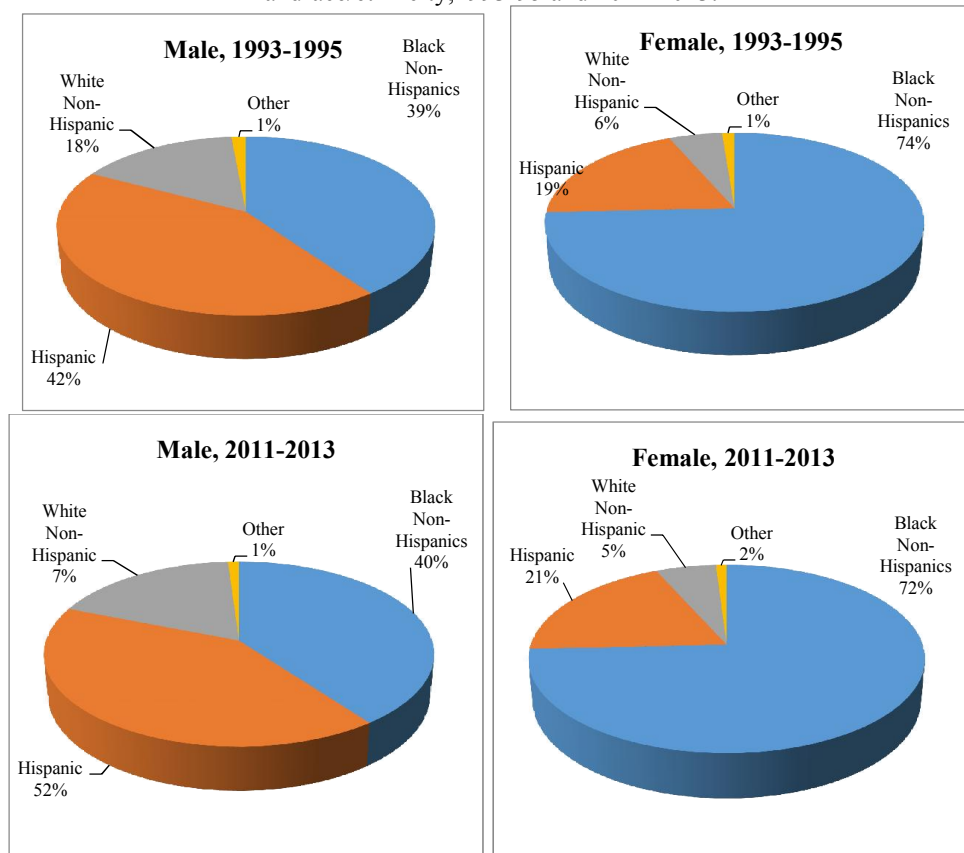
Further analysis of the incidence of new AIDS cases reported in Miami-Dade County in the two triennial periods by both ethnicity and gender reveals some parallels between the triennial periods. Between 1993 and 1995 Black Non-Hispanics accounted for 39% of all AIDS cases



reported by men yet 74% of all AIDS cases reported by women. In all other racial/ethnic groups, the proportion of new AIDS cases reported was greater in men. The same pattern was observed when the 2011 - 2013 triennial was considered (figure 4); Black Non-Hispanic men represented 40% of all AIDS cases reported by men yet Black Non-Hispanic women represented 72% of all AIDS cases reported by women.

The pattern of mortality, although disturbingly higher than the rest of the selected ethnic groups, is not significantly different among Black Non-Hispanic group between periods; 76% of all reported death was among Black Non-Hispanics during the first and second selected triennials. The proportion of Hispanic deaths increased from 16% in 1993-95 to 18% in 2011-13. A reduction of 3% in the reported deaths among White Non-Hispanics was observed between the two selected triennials.

Figure 4. Distribution of AIDS cases in Miami-Dade County by gender and race/ethnicity, 1993-95 and 2011-2013.



## Age

The mean age at diagnosis for AIDS patients between 1993 and 1995 was 38 years old and between 2011 and 2013 it was 40 years old: A

significant increase ( $t_{(4024)} = -1588$ ,  $p = 0.000$ ). The proportion of new AIDS cases reported among adolescents (13 to 19 years old) increased from 0.5% in the 1993 – 1995 triennial to 1.3% in the 2011 – 2013 triennial. There were significantly more AIDS cases reported among the 65 years and older age group between 2011 and 2013 (3.8%) than between 1993 and 1995 (2.1%),  $\chi^2_{(1)} = 15.8$ ,  $p < 0.001$ .

### Exposure Category

Considerably more new AIDS cases were reportedly associated with heterosexual contact between 2011 and 2013 (43.2%) than between 1993 and 1995 (23.1%),  $\chi^2_{(1)} = 291.4$ ,  $p < 0.001$ . A significant increase was also observed in the proportion of new AIDS cases reportedly associated with male sexual contact with other males between the selected triennial periods; 1993 -1995 (40.3%) and 2010 - 2013 (45%),  $\chi^2_{(1)} = 12.4$ ,  $p < 0.001$ .

### Socioeconomic Indicators

There is a significant positive correlation between AIDS diagnosis and socioeconomic indicators; poverty rate and the lack of health insurance (table 2). Education, as indicated by graduation from High School, is negatively correlated with AIDS diagnosis (table 2).

Table 2. Correlation between AIDS cases (51) in Miami Dade County and socioeconomic indicators.

Socioeconomic Indicator	Poverty Rate	Over 25 years of age with High School Diploma	No Health Insurance
<b>Pearson Coefficient</b>	0.375**	- 0.313*	0.779**

\*. Correlation is significant at the 0.05 level (2-tailed).

\*\*. Correlation is significant at the 0.01 level (2-tailed).

Source: Census Bureau, 2010.

### Discussion

In this study, changes in the maturing AIDS epidemic in Miami Dade County, Florida were reported based on observations of two tri-annual time points; 1993 – 1995 and 2011 – 2013. When these two time points are compared, a decrease in the actual number of new AIDS cases reported as well as a reduction in AIDS-related mortality was noted. In fact, there has been a gradual decline in both the incidence of AIDS and in AIDS-related mortality since 2002 (figure 1). This may be attributed, at least in part, to the implementation of more aggressive treatment strategies (such as HAART) that delay the progression from HIV infection to AIDS. Despite this reduction in both incidence and AIDS-related mortality, our observations reveal some disturbing trends and emerging issues associated with the increased vulnerability of our minority communities in South Florida and particularly the vulnerability of Non-Hispanic Black women to AIDS. These

observations should impact our intervention strategies moving forward.

### **Gender**

Though men still account for most of the new AIDS cases reported, our observations reveal a significant increase in the proportion of women living with AIDS in Miami-Dade County, and a proportionate increase in AIDS-related mortality in women. HIV/AIDS in women continues to be a major public health concern particularly in our underserved communities where almost 75% of all HIV-infected women are racial and ethnic minorities, particularly black women (CDC, 2011). According to our observations, 75% of all new AIDS cases reported by women in Miami-Dade County in both triennial periods were reported by Black Non-Hispanic women. These women may acquire the virus through high risk heterosexual contact with men who have multiple sexual partners (CDC, 2011). These women may lack control over sexual activities, such as condom use, and may be in abusive relationships (Lichtenstein, 2005) making them vulnerable to infection.

### **Race/Ethnicity**

Our observations reveal that the Black Non-Hispanic population of Miami-Dade County is disproportionately affected by AIDS when compared to other races/ethnicities. Although the total number of AIDS cases diagnosed decreased when comparing the two triennial periods, the proportion of new AIDS cases reported by Black Non-Hispanics actually increased. Furthermore, the proportion of all AIDS-related deaths due to Black Non-Hispanic mortality also increased. In comparing these two triennial periods, the incidence of AIDS cases among Hispanics also increased, though less significantly than in Black Non-Hispanics while the incidence of White Non-Hispanic AIDS cases actually decreased.

The disproportionate prevalence of AIDS in the Black Non-Hispanic community is fuelled, at least in part, by the increase in the incidence of AIDS in young black MSM between 13 and 29 years old (CDC, 2012) who often endure strict criminal justice policies as recently reported (CDC, 2012). A variety of external factors that disproportionately affect Blacks may account for the HIV/AIDS epidemic within our Black communities and include but are not limited to the increased prevalence of sexually transmitted diseases, high levels of unemployment, dysfunctional social networks leading to low levels of academic achievement, the increased likelihood of imprisonment, increased poverty, reduced access to new retroviral treatment options or simply non-compliance, preventative and health care disparities. These disparities are potentiated by unequal access by ethnicity to treatment innovations reported almost twenty years ago (Crystal,

Sambamoorthi & Merzel, 1995) making these communities most vulnerable to the spread of the epidemic. Culturally appropriate HIV/AIDS intervention programs must reach this target demographic and involve community leaders if they are to reduce the heavy burden of this disease on these communities. Interventions should set short term and long term goals and the most successful will involve evidence-based policy and cultural preventative strategies (Koblin, Tieu & Frye, 2012). Such a program is the Minority AIDS Initiative (MIA) implemented by the Florida Department of Health that focuses on minority communities to address the primary goals of the National HIV/AIDS Strategy (NHAS); raise awareness of HIV status, promote HIV testing and reduce the viral load within the community, encourage preventative care and initiate treatment implementation. In keeping with the goals of the NHAS; to reduce the number of individuals infected with HIV/AIDS, to increase access to care and improve health outcomes, and to reduce health disparities, the recent release of the Healthy People 2020 guidelines is timely. The Healthy people 2020 guidelines set objectives for improved HIV/AIDS diagnosis, testing and prevention.

## **Age**

Most people living with AIDS in Miami-Dade County are between the ages of 40 and 49 years old (figure 5). Analysis of our data reveals two interesting observations 1) the proportion of AIDS cases reported among adolescents (10 to 19 years old) increased from 0.7% in the three year period from 1993 to 1995, to 1.6% in the three year period 2011 to 2013, driven by the increased incidence of AIDS in young Black MSM described previously; 2) over the same time period, the proportion of AIDS cases reported in the 65 years and older age group increased from 2.1% to 3.9% with the average age of persons now living with AIDS in Miami-Dade County increasing from 39 years to 44 years. This may be due, at least in part, to the highly active antiretroviral therapy (HAART) that improves life expectancy and the quality of life in those living with HIV (Mocroft et al., 2002) as well as newly diagnosed cases in the older age groups. In fact, according to the Florida Department of Health, newly reported HIV/AIDS cases among persons aged 50 and over increased by 28% from 2001 (17% of total) to 2010 (28% of total). The increased incidence of AIDS among the older population can be attributed to what has been referred to as the "Viagra Effect" (Jena, Goldman, Kamdar, Lakdawalla & Lu, 2010); increased sexual activity combined with infrequent condom use in this population, leading to enhanced susceptibility to sexually transmitted diseases including HIV/AIDS. In fact, many older adults remain sexually active and one in seven men report taking medication to improve sexual activity (Lindau et al., 2007).

### **Exposure Category**

In Miami-Dade County the proportion of AIDS cases due to heterosexual contact increased from 22.9% in the 1993 to 1995 triennial, to 42.4% in the 2011 to 2013 triennial. This is in contrast to the rest of the United States where there was no statistically significant increase in HIV incidence from heterosexual contact (CDC, 2011). Black Non-Hispanic women are particularly vulnerable to contracting the disease in Miami-Dade County, possibly from unprotected sexual activity with a dominant older infected male in multiple relationships who may not disclose their HIV status (Simbayi et al., 2007)

According to our observations, the proportion of AIDS cases reported in MSM in Miami-Dade County remained relatively constant between the two tri-annual periods studied. Nationwide the incidence of HIV/AIDS has also remained relatively stable in MSM with the notable exception of young black MSM. The incidence of HIV/AIDS in this population has increased significantly from 2006 – 2009 (CDC, 2011).

### **Socioeconomic Indicators**

A significant positive correlation between AIDS diagnosis and poverty rate was observed, suggesting that the disease discriminates against poorer populations. This connection is highly significant and not unexpected since good health and longevity is generally associated with high income/less poverty. Given that a lack of health insurance is a proxy for increased poverty, the positive correlation between AIDS diagnosis, poverty and the lack of health insurance is not unexpected. Those with AIDS may find it difficult to obtain employment (increased poverty), and may be discriminated against in the work place making career advancement unlikely, and since the employer is often responsible for health insurance, these uninsured individuals also have limited treatment options including limited access to the most aggressive (and expensive) treatment regimens such as HAART. It is generally acknowledged that a lower socioeconomic status is associated with an increase in the behaviors that increase AIDS risk; intravenous drug use, and unprotected sexual activity. However, contrary to this perception is the view that contracting AIDS is actually associated with behaviors more aligned with the lifestyles of the wealthy; increased travel, urbanization, multiple sexual partners. This demographic however is generally better educated than the poorer populations and thus more likely to make lifestyle adjustments when faced with adversity.

This study revealed that higher educational attainment, as indicated by graduation from High School, is negatively correlated with an AIDS diagnosis, indicating that those individuals most vulnerable to the disease are the least educated. Individuals who attend High School are more likely to

experience HIV/AIDS education, be more cognizant of the myths surrounding HIV/AIDS transmission, and be more responsive to educational campaigns regarding condom use and the importance of HAART regimen compliance for example. These results strongly suggest that an education initiative targeted to poorer communities may be used as a “tool” to slow the spread of the AIDS epidemic in South Florida.

## **Conclusion**

In recent years, the CDC's efforts to combat AIDS in Miami-Dade County have been somewhat successful since the number of new cases of AIDS diagnosed is dropping and there has been a significant reduction in AIDS-related mortality over the past decade. However the AIDS epidemic is changing as it matures, now targeting our vulnerable poorer communities. The AIDS epidemic sweeping through South Florida and the United States is now a significant cause of mortality in women, particularly Black Non-Hispanic women infected by heterosexual contact, and disproportionately affects our ethnic/racial minority communities. The disease is changing and so must our intervention efforts. Injection drug use and high-risk alcohol-related sexual behavior are no longer the most likely means of infection and more focused interventions based on epidemiological studies and behavioral analyses of social and sexual networks should become more significant.

MSM remain the most significantly affected by AIDS, particularly young black MSM who engage in unprotected sexual activity. Only sustained community-based, culturally sensitive interventions that are appropriately disseminated to at risk minority groups, specifically Black Non-Hispanic women, young Black MSM, and older adults engaged in medication-supported sexual activity will be effective. Interventions must leverage the popularity of community leadership, include those currently living with HIV/AIDs and integrate age-appropriate educational initiatives. This is a communicable chronic disease that is 100% preventable with increased education, self-awareness and responsibility.

## **Limitations of this study**

The HIV/AIDS data collection process in the United States has not been consistent during the period analyzed; changes in the diagnostic criteria have created inconsistencies in the number of cases reported in virtually all counties and in all racial/ethnic, gender, age and HIV/AIDS risk factor categories. The inconsistency of the data results in fluctuating data trends and complicates interpretation. The selection of two three-year periods for analysis and comparison as in this study reduces data inconsistencies and increases reliability.

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# THE PERCEPTIONS OF VLORA UNIVERSITY STUDENTS ABOUT SEXUAL BEHAVIOR AND THE RISK OF HIV INFECTION

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## Abstract

**Introduction:** Although various studies have shown that the young albanians have a satisfactory level of knowledge about HIV / AIDS, other studies prove that there is a significant difference between the level of the knowledges and their healthy sexual behaviors.

**Purpose:** To establish the perceptions of the students at the University of Vlorë towards the sexual behaviour which could make them vulnerable to HIV and AIDS.

**Methodology:** This is a descriptive study where quantitative method was used for the data and information resulting from a survey structured in the form of a questionnaire. The study participants were 721 randomly selected students from the Vlorë University.

**Results:** The average age of the students was  $20.75 \pm 2.2$  years, 56.45% were female and 43.55% male. Regarding sexual behaviour, there are students who think that sexual relations make them more popular (36%), that a person cannot contract HIV the first time he/she has sex (37%), that sexual intercourse with same sex is safe (41%), there is no risk if they use alcohol or drugs before / during sexual intercourse (36%). There is a statistically significant difference between the two sexes and knowledge about sexual behavior ( $p < 0.0001$  Chi-Square), between students with different ages at first intercourse and sexual behavior ( $p = 0.0036$  Chi-Square), sexual behaviors of students with different levels of knowledge about HIV / AIDS ( $P < 0.0001$  Chi-Square  $< 0.05$ ).

**Conclusions:** The students have misconceptions about certain sexual behaviors. The level of knowledge about HIV / AIDS affects sexual behavior of students.

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**Keywords:** Sexual behavior, knowledge, HIV infection, University of Vlora

## **Introduction**

Globally, university students are in the age range with the highest rates of new Human Immunodeficiency Virus (HIV) infections (Lewis JE, et al. 1997). The university environment with its attendant relative lack of parental supervision offers great opportunity for young people, who are bridging from adolescence to adulthood, to test the limits of their new found freedom through sexual experimentation (Duncan C, et al. 2002). Such experimentation frequently involves engagement in risky sexual activities such as multiple partners, inconsistent use of condoms, and having sex under the influence of alcohol or drugs (Nakornkhet N, et al. 1998). Literature on health related behavior emphasizes the perception of being at risk of infection as one of the necessary conditions for behavioral change (Lavra B. 2004). According to Avery L, 2010 the early initiation of sexual activity increases the risk to get a sexually transmitted infection. The global evidences have shown that the age of onset of sexual intercourse has declined sharply (Wellings K et al. 2006). Moreover, the degree of the perceived risk seems to affect individual actual control in adopting preventive measures. Individual risk perception as well as individual knowledge, is likely to be subjected to socio-environmental influences, as long as social interaction allows information exchange, facilitates common evaluation and definition of the meaning and of its validity (UNAIDS; 2001). Universities may be an ideal institution for implementation of preventive intervention programs in such a way that the youth of today "are armed" with good knowledge in terms of protecting their general health and healthy sexual behavior in particular. Moreover, the nursing students will use this information and knowledge at the same time towards community care and individuals in need or towards self care activities. Students, including those who study health care or who are established in other areas, could be affected by HIV/AIDS pandemic throughout the world (Twahafifwa Ndahekelekwwa Tupavali Ng'amwa, 2013).

In **Albania**, the sexual health of young people, is being considered as a public health problem, despite the fact that existing data and studies show that **Albania** has no generalized or concentrated epidemics of HIV/AIDS infection. To date, in Albania there are only 172 cases diagnosed and reported with HIV, while 40 have died. In 2003, WHO/UNAIDS estimated the number of persons who might be affected by HIV using Spectrum model

and calculations revealed that could have 400-700 people affected by HIV / AIDS in Albania. While, this same assessment showed that unless measures were taken, in 2015 the number of persons affected by HIV / AIDS can reach 10.000 to 15.000 (James Chin, 2002).

Sexual health education is a lacking culture and only after 1992 the public began to discuss these issues openly. Sex education has been included in education curricula in grades 8's, of elementary school, but is insufficient and does not always develop properly. Also, if we refer to the fact that the age of first sexual intercourse has slightly declined, sexual education in schools starts at a later age and it doesn't precede the start of sexual activity of young people (Harxhi A, et al. 2005). The trend of starting sexual intercourse at an early age, as well as the involvement of young people in premarital sex are the features of current period in Albania (Albanian Ministry of Health, 2007). Early age of first sexual intercourse implies the beginning of exposure of youth to various health risks, such as sexually transmitted infections including HIV/AIDS, with health, social and economic consequences. The average age of first sexual intercourse, based on various studies is reducing and is reported to be 15 - 19 years (Institute of Statistics, Institute of Public Health Albania and ICF Macro. 2010). The median age of the first sexual intercourse between women is lower than that of men (Merkuri L. et al. WHO/UNFPA *Entre Nous*, 2012, 76: 16-18 ). Some of these studies have reported that women have begun first sexual intercourse under 15 years (*Albania Health Behavior in School-Aged Children Study*, 2009-2010). Another study found that early initiation of sexual activity is observed more in some women (Albania Bio-BSS, 2006). These data seem consistent on all findings.

Although various studies (Bitri E. et al. 2014; Krasniqi M. 2014) have shown that the young albanians have a satisfactory level of knowledge about HIV / AIDS, but these studies prove that there is a significant difference between the level of the knowledge and their healthy sexual behaviors. Also, they show that young people are involved in **sexual behavior with high risk**.

In general, due to the very nature of the students; because of their age, ambition to experience new events and other factors described in the few paragraphs above, students of higher education (Vlora University in this context) are likely to be at risk of HIV/AIDS. Thus, this study intends to assess the knowledge of the students at the University of Vlora towards the sexual behaviour which could make them vulnerable to HIV and AIDS, in order to design appropriate informative, educational programs and preventive activities.

## **Purpose**

The main aim of this study is to establish the perceptions of the students at the University of Vlora towards the sexual behaviour which could make them vulnerable to HIV and AIDS.

## **Objectives of the study**

To determine socio-demographic data of the study participants.

To establish students' general knowledge on HIV / AIDS

To identify sexual behaviour that expose students to contracting HIV

To evaluate the correlations between socio-demographic variables and knowledge on sexual behaviors, between general knowledge about HIV / AIDS and sexual behavior of students to Vlora University.

## **Methodology of the study**

In addition to a descriptive-type-of-study, this is a quantitative method which uses the data and information resulting from a survey structured in the form of a questionnaire. The survey was conducted among 721 randomly selected UV students during May-June 2014. During the drafting of the questionnaire was consulted a range of materials and questionnaires were considered models used roughly similar studies. The format of the questions followed a Likert scaling also known as a summated rating scale. In Likert scaling each participant's rates multiple items designed to measure one construct (Christensen, et al. 2011).

## **Data analysis**

An expert in statistic was used for data coding and analyses to enhance the research validity. For statistical analysis of the data was used statistical program SAS (Statistical Analysis System) version 9.1. For numerical variables it was used arithmetic average and size dispersion (standard deviation). For categorical variables were reported absolute numbers and percentages respective. To assess the links between different variables were used statistical tests in accordance with the nature of the variables that participate in a certain relation. We used mainly non-parametric test Kruskal - Wallis to compare the homogeneity of the various groups compared. To assess the associations between categorical variables was used Chi-square statistical test, the preferred test for the evaluation of associations between categorical variables. This test P-value reports, as well as scales of freedom. Cross tabs were used to assess the relationship between different variables (knowledge, behavior) in which was awarded the Pearson correlation index, which the values 0.1-0.29 shows weak correlation, for the values 0.3-0.49 shows moderate correlation, for the values 0.5-0.69 shows

substantial correlation and over 0.7 strong correlation. A P values  $\leq 0,05$  were accepted as statistically significant.

### Pilot study

The validity and reliability of measuring instruments was tested in a pilot study in a group of 30 students of Public Health Faculty. These 30 students did not know that they were part of a pilot group. After evaluation was certified that there were not evident problems or difficulties in understanding the questions.

### Ethical principles

For the realization of this study initially assured permission from the rector of Vlora University and the deans of various faculties and the approval to conduct this research study was obtained from the University "Ismail Qemali" Vlore Council of Ethics before the study commences. Studies which collect personal information on subjects, to be designed in an ethical manner to protect individuals participating in the study, also based in Helsinki Declaration. Informed consent was obtained from the participants after informing them about all the relevant issues of the study. There was no discomfort observed during questionnaire completion and the participants were assured of confidentiality.

### Results of the study

Sexual behavior was assessed according to the answers of the 10 questions in the knowledge section about the sexual behavior. Each correct answer had 1 point and the total was classified in this category:

- 8 - 10 point - Very appropriate behavior
- 5- 7 point - Appropriate behavior
- 0 - 4 point - Not appropriate behavior

**Table 1.** *The distribution of students according to responses for the assessment of knowledge about sexual behavior*

<i>Variables</i>	<i>Number (n)</i>	<i>Percentage (%)</i>	<i>Correct answer</i>
1. Sexual intercourse makes a boy and a girl more popular	261	36.55	Strongly disagree
Strongly disagree	126	17.65	
Agree	89	12.47	Disagree
Don't know	208	29.13	
Disagree	30	4.20	
Strongly agree	714	100.00	
Total			

2. Sex with multiple partners is not risky			
Strongly disagree	356	349.86	Strongly disagree
Agree	78	10.92	
Don't know	85	11.90	
Disagree	161	22.55	Disagree
Strongly agree	34	4.76	
Total	714	100.00	
3. Having sex with several partners at the same time can put at risk of HIV infection(sex in group)			
Strongly disagree	39	5.46	
Agree	331	46.36	Agree
Don't know	46	6.44	
Disagree	67	9.38	
Strongly agree	231	32.35	Strongly agree
Total	714	100.00	
4. It is good to engage in sexual activities for money,gifts or favor			
Strongly disagree	511	71.57	Strongly disagree
Agree	39	5.46	
Don't know	28	3.92	
Disagree	122	17.09	
Strongly agree	14	1.96	Disagree
Total	714	100.00	
5. Having sex with a partner whose HIV status is unknown can put at risk of contracting HIV			
Strongly disagree	46	6.44	
Agree	287	40.20	Agree
Don't know	75	10.50	
Disagree	49	6.86	
Strongly agree	257	35.00	Strongly agree
Total	714	100.00	
6. A person cannot contract HIV the first time he/she has sex			
Strongly disagree			Strongly disagree
Agree	280	39.27	
Don't know	91	12.76	
Disagree	150	21.04	
Strongly agree	169	23.70	Disagree
Total	714	100.00	
7. Sexual intercourse with same sex is safe			
Strongly disagree	303	42.50	Strongly disagree
Agree	73	10.24	
Don't know	188	26.36	
Disagree	115	16.13	
Strongly agree	34	4.77	Disagree
Total	714	100.00	
8. A person cannot get HIV by having unprotected sex with a person younger than him/her			
Strongly disagree	343	48.39	Strongly disagree
Agree	45	6.31	
Don't know	115	16.13	
Disagree	192	26.93	
Strongly agree	16	2.24	Disagree

Total	714	100.00	
9. It is risky to engage in sexual activities after taking alcohol or intravenous drugs			
Strongly disagree	63	8.84	
Agree	248	34.78	Agree
Don't know	117	16.41	
Disagree	76	10.66	
Strongly agree	209	29.31	Strongly agree
Total	714	100.00	
10. It is important to talk with your parents or counselors about your sexual doubts/behaviors			
Strongly disagree	70	9.82	
Agree	314	44.04	Agree
Don't know	100	14.03	
Disagree	83	11.64	
Strongly agree	146	20.48	Strongly agree
Total	714	100.00	

**Table 2.** *Distribution of students by assessing their sexual behaviors*

<i>Variables( Sexual behaviour)</i>	<i>Number (n)</i>	<i>Percentage (%)</i>
Not appropriate behavior	106	14.85
Appropriate behavior	256	35.85
Very appropriate behavior	352	49.30
Without answer	7	-
Total	721	100.00

**Table 3.** *Correlation between knowledge about sexual behavior and socio- demographic variables*

<i>Variables</i>	<i>Sexual behavior</i>			
	Not appropriate behavior	Appropriate behavior or	Very appropriate behavior	Total
	N (%)	N (%)	N (%)	N (%)

Age-groups(years)	18-20 years	61	140	188	389
	21-24 years	(8.54%)	(19.61	(26.33	(54.48
	25-28 years	41	%)	%)	%)
	More than 28	(5.74%)	105	150	296
	years	4	(14.71	(21.01	(41.46
	Total	(0.56%)	%)	%)	%)
Variables	0	5	9	18	
	106	(0.00%)	(0.70%	(1.26%)	(2.52
	(14.84%	)	5	%)	%)
	)	6	(0.70%)	11	
	)	(0.84%	352	(1.54	
	)	)	(49.30	%)	%)
Gender	256	%)	714		
	(35.86	%)	(100%		
	)		)		
Chi-Square 0.6350					
Variables		Not appropri	Approp	Very	Total
		iate behavi	or behavi	appropriate	
		N (%)	N (%)	N (%)	N (%)
Residence	Female	41	120	242	403
	Male	(5.74%)	(16.81	(33.89	(56.44
	Total	65	%)	%)	%)
		(9.10%)	136	110	311
		106	(19.05	(15.41	(43.56
		(14.84%	%)	%)	%)
Sexual behavior	)	256	352	714	
		(35.86	(49.30	(100.0	
		%)	%)	0%)	
Chi-Square < 0.0001					
Variables		Sexual behavior			
		Not appropriate behavior	Appropriate behavior	Very appropriate beh	
		N (%)	N (%)	N (%)	
Residence	Rural areas	35 (4.90%)	98 (13.73%)	110 (15.41%)	
	Urban Areas	71 (9.94%)	158 (22.13%)	242 (33.89%)	
	Total	106 (14.84%)	256 (35.86%)	352 (49.30%)	
Chi-Square 0.1901					
Variables		Sexual behavior			
		Not appropriate behavior	Appropriate behavior	Very appropriate	Total
		N (%)	N (%)	N (%)	N (%)
Economic level	Low level	10 (1.40%)	18 (2.52%)	14 (1.96%)	42
	Moderate level	89 (12.46%)	225 (31.52%)	315 (44.12%)	(5.88%)
	High level	7 (0.98%)	13 (1.82%)	23 (3.22%)	629
	Total	106 (14.84%)	256 (35.86%)	352 (49.30%)	(88.10%)
					43
Chi-Square 0.12071					
					(6.02%)
					714
					(100.00%)



**Table 3.1.**Correlation between knowledge about sexual behavior and socio- demographic variables

Variables		Sexual behavior			
		Not appropriate behavior	Appropriate behavior	Very appropriate behavior	Total
		N (%)	N (%)	N (%)	N (%)
Religione	Atheist	61 (8.54%)	140 (19.61%)	4 (0.56%)	5
	Catholic	41 (5.74%)	105 (14.71%)	27 (3.78%)	(0.70%)
	Muslim	4 (0.56%)	5 (0.70%)	268 (37.54%)	49
	Orthodox	0 (0.00%)	6 (0.84%)	53 (7.42%)	(6.86%)
	Total	106 (14.84%)	256 (35.86%)	352 (49.30%)	571
					(79.97%)
					89
					(12.46%)
					714
					(100.00%)
<b>Chi-Square</b>		<b>0.0920</b>			
Variables		Not appropriate behavior	Appropriate behavior	Very appropriate behavior	Total
		N (%)	N (%)	N (%)	N (%)
		N (%)	N (%)	N (%)	N (%)
Civil status	Cohabitant	8 (1.12%)	23 (3.22%)	32 (4.48%)	63
	Single	93 (13.03%)	211 (29.55%)	289 (40.48%)	(8.82%)
	Married	5 (0.70%)	19 (2.66%)	28 (3.92%)	593
	Divorced	0 (0.00%)	3 (0.42%)	3 (0.42%)	(83.06%)
	Total	106 (14.84%)	256 (35.86%)	352 (49.30%)	52
					(7.28%)
					6
					(0.84%)
					714
					(100.00%)
<b>Chi-Square</b>		<b>0.8124</b>			

**Table 3.2.**Correlation between knowledge about sexual behavior and socio- demographic variables

Variables		Sexual behavior			
		Not appropriate behavior	Appropriate behavior	Very appropriate behavior	Total
		N (%)	N (%)	N (%)	N (%)
Subject	Public Health	19 (2.66%)	70 (9.81%)	197 (27.59%)	286
	Faculty	87 (12.18%)	186 (26.05%)	155 (21.71%)	(40.06%
	Others	106 (14.84%)	256 (35.86%)	352 (49.30%)	)
	Faculties				428
	Total				(59.94%
					)
					714
					(100.00
					%)
<b>Chi-Square</b>		<b>&lt;0.0001</b>			
Variables		Not appropriate behavior	Appropriate behavior	Very appropriate behavior	Total
		N (%)	N (%)	N (%)	N (%)

Years of the study	I	43 (6.02%)	83 (11.62%)	106 (14.85%)	232
	II	36 (5.04%)	96 (13.45%)	120 (16.81%)	(32.49%
	III	27 (3.78%)	77 (10.78%)	126 (17.65%)	)
	Total	106 (14.84%)	256 (35.85%)	352 (49.31%)	252
					(35.30%

**Chi-Square 0.1616**

Variables		Sexual behavior			
		Not appropriate behavior	Appropriate behavior	Very appropriate behavior	Total
		N (%)	N (%)	N (%)	N (%)
At what age you have sexual intercourse for the first time	14 years or less	5 (1.03%)	9 (1.85%)	7 (1.44%)	21
	15-18 years	48 (9.88%)	107 (22.02%)	95 (19.55%)	(4.32%)
	More than 19 years	32 (6.58%)	64 (13.17%)	119 (24.49%)	250
					(51.44%)
	Total	85 (17.49%)	180 (37.04%)	221 (45.47%)	215

**Chi-Square 0.0036**

Variables		Sexual behavior			
		Not appropriate behavior	Appropriate behavior	Very appropriate behavior	apj
		N (%)	N (%)	N (%)	
During your life how many partners you have sexual intercourse	1 partner	34 (8.02%)	71 (16.75%)	134 (31.60%)	
	2 partners	15 (3.54%)	36 (8.49%)	21 (4.95%)	
	3 partners	13 (3.07%)	24 (5.66%)	22 (5.19%)	
	4 partners	5 (1.18%)	20 (4.72%)	9 (2.12%)	
	5 partners	4 (0.94%)	6 (1.41%)	7 (1.65%)	
	6 partners	0 (0.00%)	0 (0.00%)	3 (0.71%)	
	Total	71 (16.75%)	157 (37.03%)	196 (46.22%)	

**Chi-Square 0.0005**

### General knowledge of students about HIV/AIDS

General knowledge was assessed according to the answers of the 10 questions in the general knowledge section about HIV/AIDS infection. Each correct answer had 1 point and the total was classified in this category:

8-10 points - Very good knowledge

5-7 points - Good knowledge

0-4 points- Not very good knowledge

**Table 4.** *Distribution of students according to general knowledge about HIV/AIDS*

<i>Variables</i>	<i>Number(n)</i>	<i>Percentage (%)</i>	<i>Correct answer</i>
1. A person with HIV can look healthy for many years			
Strongly disagree	89	12.38	Agree
Agree	265	36.86	
Don't know	170	23.64	
Disagree	105	14.60	Strongly agree
Strongly agree	90	12.52	
Total	719	100.00	
2. HIV can be transmitted through saliva, kissing infected person			
Strongly disagree	267	37.13	Strongly disagree
Agree	138	19.19	
Don't know	88	12.24	
Disagree	134	18.64	Disagree
Strongly agree	92	12.80	
Total	719	100.00	
3. HIV can be transmitted through a mosquito bite when it first bites an infected person			
Strongly disagree	153	21.28	Strongly disagree
Agree	192	26.70	
Don't know	155	21.56	
Disagree	82	11.40	Disagree
Strongly agree	137	19.05	
Total	719	100.00	
4. HIV can be transmitted through shaking hands with infected people			
Strongly disagree	559	77.75	Strongly disagree
Agree	1	0.14	
Don't know	10	1.39	
Disagree	28	3.89	Disagree
Strongly agree	115	15.99	
Total	719	100.00	
5. A pregnant woman can transmit the virus to her unborn child			
Strongly disagree	12	1.68	Agree
Agree	218	30.62	
Don't know	102	14.33	
Disagree	18	2.53	Strongly agree
Strongly agree	362	50.84	
Total	719	100.00	
6. HIV is a disease of poor people			
Strongly disagree	466	64.82	Agree
Agree	32	4.45	
Don't know	39	5.42	
Disagree	173	24.06	Strongly agree
Strongly agree	9	1.25	
Total	719	100.00	
7. Having a quick bath after unprotected sex can reduce the risk of contracting HIV			
Strongly disagree	248	34.49	Strongly disagree
Agree	94	13.07	
Don't know	203	28.23	
Disagree	152	21.14	Disagree
Strongly agree	19	2.64	
Total	716	100.00	

8. ARV therapy provides treatment of AIDS			
Strongly disagree	427	59.39	Strongly disagree
Agree	28	3.89	
Don't know	114	15.86	
Disagree	140	19.47	
Strongly agree	10	1.39	Disagree
Total	719	100.00	
9. A person would not contract HIV by having sexual intercourse with a newly infected person with HIV			
Strongly disagree	294	40.89	Strongly disagree
Agree	94	13.07	
Don't know	139	19.33	
Disagree	138	19.19	
Strongly agree	54	7.51	Disagree
Total	714	100.00	
10. Sharing needles could increase the chances of contracting HIV			
Strongly disagree	21	2.92	Agree
Agree	200	27.82	
Don't know	28	3.89	
Disagree	27	3.76	
Strongly agree	443	61.61	Strongly agree
Total	719	100.00	

**Table 5.** Responses of students regarding to general knowledge about HIV / AIDS

Knowledge about HIV/AIDS	Number (n)	Percentage (%)
Not very good	249	34.63
Good	360	50.07
Very good	110	15.30
Without answer	2	-
Total	721	100.00

**Table 6.** Evaluation of correlation between knowledge about sexual behavior and general knowledge about HIV / AIDS

Sexual behavior				
General knowledge about HIV/AIDS				
The scale of measuring	Not very good	Very Good	Good	Total
	N (%)	N (%)	N (%)	N (%)
Not appropriate behavior	74 (10.36%)	3 (0.42%)	29 (4.06%)	106
Appropriate behavior	96 (13.45%)	24 (3.36%)	136 (19.05%)	(14.85%)
Very appropriate behavior	77 (10.78%)	82 (11.48%)	193 (27.03%)	256
Total	247 (34.59%)	109 (15.27%)	358 (50.14%)	(35.85%)
				352
				(49.30%)
				714 (100%)
Chi-Square < 0.0001				

**Table 6.1.** *Evaluation of correlation between sexual behavior and general knowledge on HIV / AIDS*

<b>Knowledge 6</b> <i>HIV is a disease of poor people</i>	<b>Behavior 1</b>					
	<i>Sexual intercourse makes a boy and a girl more popular</i>					
	Strongly disagree	Agree	Don't know	Disagree	Strongly agree	Total
	N (%)	N (%)	N (%)	N (%)	N (%)	N (%)
Strongly disagree	192	71	49	132	18 (2.52%)	462
Agree	(26.89%)	(9.94%)	(6.86%)	(18.49%)	4 (0.56%)	(64.71%)
Don't know	9 (1.26%)	12	2	5	1 (0.14%)	32
Disagree	10 (1.40%)	(1.68%)	(0.28%)	(0.70%)	7 (0.98%)	(4.48%)
Strongly agree	47 (6.58%)	6	10	11	0 (0.00%)	38
Total	3 (0.42%)	(0.84%)	(1.40%)	(1.54%)	30 (4.20%)	(5.32%)
	261	36	25	58		173
	(36.55%)	(5.04%)	(23.50%)	(8.12%)		(24.23%)
		1	3	2		9
		(0.14%)	(0.42%)	(0.28%)		(1.26%)
		126	89	208		714
		(17.65%)	(12.46%)	(29.13%)		(100.00%)
<b>Pearson Correlation P=0.09</b>						

**Table 6.2.** *Evaluation of correlation between sexual behavior and knowledge of general knowledge on HIV / AIDS*

<b>Knowledge 9</b> <i>A person would not contract HIV by having sexual intercourse with a newly infected person with HIV</i>	<b>Behavior 4</b>					
	<i>It is good to engage in sexual activities for money, gifts or favor</i>					
	Strongly disagree	Agree	Don't know	Disagree	Strongly agree	Total
	N (%)	N (%)	N (%)	N (%)	N (%)	N (%)
Strongly disagree	233	16	8	32	4 (0.56%)	293
Agree	(32.63%)	(2.24%)	(1.12%)	(4.48%)	2 (0.28%)	(41.04%)
Don't know	55 (7.70%)	9	2	24	5 (0.70%)	92
Disagree	98	(1.26%)	(0.28%)	(3.36%)	3 (0.42%)	(12.89%)
Strongly agree	(13.73%)	8	7	20	0 (0.00%)	138
Total	89	(1.12%)	(0.98%)	(2.80%)	14 (1.96%)	(19.33%)
	(12.46%)	3	8	34		137
	36 (5.04%)	(0.42%)	(1.12%)	(4.76%)		(19.19%)
	511	3	3	12		54
	(71.57%)	(0.42%)	(0.42%)	(1.68%)		(7.56%)
		39	28	22		714
		(5.46%)	(3.92%)	(17.09%)		(100.00%)
<b>P=0.13</b>						

## Discussion

**Table 1** shows that most students have misconceptions in the following statements: in statement number 1, 6, 7, 9, 10 there are respectively these wrong answers 34% , 37%, 41%, 36%, 34%. So the students think that sexual relations make them more popular (34%), that the first time they can not get infected from HIV (37%), that the same sex sexual relations are safer ( 41%), that the use of drugs and alcohol during sexual relations is not risky (36%) and they think that is not necessary to talk to

their parents about their doubts regarding HIV/AIDS (35%). The results of this study are in concordance with similar studies in Colombia (Hernandez, Zulma 2003) for the statement number 7 and in a very significant contrast for the other statements in a study done in Namibia (Twahafifwa Ndahekelekwa Tupavali Nghaamwa, 2013) whose results were more positive than ours.

**Table 2** shows that around 49% of the students are assessed to have very good perceptions about the sexual behaviour, 36% have the right perceptions and 15% do not have the right perceptions for these behaviours. The results presented in tables 1 and 2 show a considerably high number of students who do not have safe sexual behaviour, the same results as in the following studies (Ebot, Mathias Ebot 2009; Twahafifwa Ndahekelekwa Tupavali Nghaamwa 2013; Namaitijiang Maimaitiet al. 2010).

**Tables 3; 3.1; 3.2** show a correlation between the knowledge on sexual behaviour and socio demographic variables. There is no statistical significance in age group for the sexual behaviour ( $p = 0.6350 > 0.05$  Chi-square); place of living and sexual behaviour ( $p = 0.1901 > 0.05$  Chi-square); between the students with various economic status and sexual behaviour ( $p = 0.2071 > 0.05$  Chi-square); their religious belief does not affect the sexual behaviour ( $p = 0.0920 > 0.05$  Chi-square); civil status ( $p = 0.8124 > 0.05$  Chi-square); Accommodation ( $p = 0.9007 > 0.05$  Chi-square); There is no statistical significance in students according to their academic year of study and sexual behaviour ( $p = 0.1616 > 0.05$  Chi-square); these results are in contrast with another study conducted in Ethiopia (Wondemagegn Mulu et al, 2014) which showed the influence of these factors in the knowledge and sexual behaviour in students. Furthermore, according to Twahafifwa Ndahekelekwa Tupavali Nghaamwa (2013) religion ethnicity can influence sexually behaviour through intermediate factors such as the age at first sex, marital status and access to information and services. While another study from Bongaart as cited in Akwara, et al. (2003; p. 385) it states “sexual behaviour is probably responsible for much of the differences in heterosexual HIV and AIDS epidemics among countries, as well as for the equally large differences among regions and demographic groups within countries.

**Sexual behaviours and gender:** There is important statistical significance between both genders on sexual perceptions ( $p < 0.0001 < 0.05$  Chi-square). Females have more appropriate behaviour than males. 60% of the females have very appropriate behaviour, 30% appropriate behaviour and 10 % not very appropriate behaviour. 35 % of males have very appropriate behaviour, 44% appropriate behaviour and 21 % not very appropriate behaviour. These results are similar to the following studies (Wondemagegn Mulu et al. 2014; Namaitijiang Maimaitiet et al. 2010)

**Sexual behavior and the field of study:** There is important statistical significance between students in various fields of study on their

sexual behavior ( $p < 0.0001$  Chi-square). The results show that nursing students have better behavior than others. 69% have very appropriate behavior, 24% appropriate behavior and 7% not very appropriate behavior. The students of other faculties: 36% very appropriate behavior, 44 % appropriate and 20% not very appropriate behavior. The impact of the field of study on the students' perception was similar to other findings from a study done in Mylazia (Namaitijiang Maimaiti et al. 2010) and a Greek study (Christina Ouzounitaking et al. 2012) took into consideration that the target population of the present study was nursing students, their knowledge on HIV/AIDS was inaccurate and insufficient for future health care professionals.

**Sexual behavior and the age of the first sexual relation:** There is important statistical significance between students with different age on the first sexual relation on their sexual behavior ( $p = 0.0036 < 0.05$  Chi-square). The students who had their first intercourse after the age of 19 have more appropriate behavior than other students. This age group had 55% with very appropriate behavior, 30% appropriate behavior and 15% not very appropriate behavior. The age less than 14 had 33% with very appropriate behavior, 43% appropriate behavior and 24% not very appropriate behavior. Age "15-18 years old" have 38% very appropriate behavior, 43% appropriate behavior and 19% not very appropriate behavior. This shows that the students who started sexual relations early have worse perceptions, similar to other studies (Avery L, 2010).

**Sexual behavior and the number of sexual partners during life:** There is important statistical significance between students with different number of partners during life and their perceptions on their sexual behavior ( $p = 0.0005 < 0.05$  Chi-square). So the students who had one partner have more appropriate behavior than those with multiple partners. 56% of them have very appropriate behavior, 30% appropriate behavior and 14% not very appropriate behavior.

**Table 4** shows that 94% of the students answer wrong or do not know that HIV is a disease of the poor people, so that it has a higher prevalence in the countries with low socio-economic status (Knowledge 6); 67% state that HIV is transmitted through the mosquito bites which is still wrong (K3); about 49% of the students think that a person with HIV may seem healthy for many years (K1), while 51% are wrong, showing that they do not have knowledge on this infection incubation time period; 44% state mistakenly that HIV can be transmitted through the saliva and/or kissing (K2) answers these in contrast with the study conducted from Twahafifwa Ndahekelelewa Tupavali Nghaamwa 2013 where most of the students answer these statements correct.

**Table 5** shows that in the most part of the participating students around 50% have good knowledge on HIV/AIDS, 15% have very good knowledge and 35 % not very good knowledge. These results show that even though the students of Vlore University have good knowledge on HIV/AIDS, there is still a percentage to take into consideration, which shows misconceptions, this similar to other studies in the reference section.

**Table 6** shows a strong statistical significance on sexual behavior of students with different levels of knowledge on HIV/AIDS. The students who have not very appropriate behavior (14.85%) the higher percentage is from students with not very good knowledge (10.36%). In students with very appropriate behavior (49.30%) 39% are the students who have good and very good knowledge. This shows that the level of knowledge about HIV/AIDS affects the sexual behavior. The indicators ( $P < 0.0001$  Chi-Square  $< 0.05$ ) show that this significance is not casual, this is similar to other studies (Wondemagegn Mulu et al, 2014; Hernandez, Zulma 2003).

**Table 6.1:** Pearson Coefficient  $p = 0.09$  of the correlation between the variables of HIV/AIDS knowledge between Knowledge 7 and sexual behavior B.1 shows a poor correlation. So, the students who think that HIV is a disease of the poor people have the same opportunity to have sexual relation only for the fact that it makes them more popular than the ones who think the opposite. From 6% (41) of the students that state the right answer on knowledge, 42% of them (17 students) think that sexual relation makes a person more popular. While from the students (89%, or 635 students) that think that HIV/AIDS is not a disease of the poor people, about 21% of them (132 students) think that sexual relation makes a person popular.

**Table 6.2:** Pearson coefficient  $p = 0.13$  of the correlation between the variables of the knowledge for HIV/AIDS through K.10 and sexual behavior B.4 shows a poor correlation. So, the students who think that a person may acquire HIV from sexual relation with a recently infected person, have the same opportunity to engage in sexual relation in exchange for money and gifts with the ones who think the opposite. From 61% (430 students) who answered right the knowledge question, 6% of them (26 students) think that is better to engage in sexual relation for money or gifts. While from 21 % (146) of the students who answered right the knowledge question, 10 % (14 students) think that is better to engage in sexual relation for gifts or money.

## Conclusions

In studies where information is gathered by self reporting, it is known that the answers are subject to an over or under reporting. This is even more evident, especially when it comes to sensitive issues such as sexual behavior of subjects in the study. Given that the survey data derive precisely from self-report guess it could be subject to this limitation (Brener ND et al. J



Adolescent Health 2003;33:436–57). One other limitation to this study was compilation of the questionnaire with closed questions, thereby limiting exploration in detail the issues of the study and so it has not been possible to obtain more in-depth information of the respondents, especially when it comes to sensitive issues such as sexual health. The students of Vlora University have some misperceptions for some sexual behaviors that expose them to the risk of getting HIV/AIDS. There is important statistical significance between students' knowledge on sexual behaviors and their socio demographic data: Females have more appropriate sexual behavior than males. Nursing students have more appropriate behavior than the students of other fields of study. Students with age of the first sexual intercourse over 19 years, have more appropriate behavior than the students of lower age groups. The level of knowledge on HIV/AIDS affects the sexual behavior of the students. The students with better knowledge of HIV/AIDS have better sexual behavior and vice versa.

### **Recommendations**

Promoting healthy sexual behavior should be an important focus of the health education profession. Periodical update of the existing information of the school curriculum and making sure that the sexual education teachers get ongoing education and training. It is necessary to perform periodical studies in this area in order to evaluate the trends and to assess the progress.

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# VALIDITY OF PROPRIOCEPTIVE REHABILITATION FOR ANKLE INSTABILITY BASED ON FREEMAN BOARD TRAINING

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## Abstract

**Background:** Ankle joint sprain and the subsequent development of chronic ankle instability (CAI) are commonly encountered by clinicians involved in the treatment and rehabilitation of musculoskeletal injuries. It has recently been advocated that ankle joint post-sprain rehabilitation protocols should incorporate dynamic neuromuscular training to enhance ankle joint sensorimotor capabilities.

**Objective:** up to date, many studies have reported the effects of Proprioception training on ankle joint stability. But fewer who studied the validity of dynamic Proprioception on ankle instability. The purpose of this pilot study was to conduct the effects of a 4-week dynamic neuromuscular training program in addition to the rehabilitation treatment for ankle instability

**Methods:** 26 sportive men were exposed to a progressive 4-week dynamic neuromuscular training program which incorporated postural stability, strengthening, plyometric. The following criteria were considered: Number of shaking of leg in a minute standing on freeman board (one minute stand), Time of balance on freeman board ( balance), Maximal resistance for ankle dorsal flexion, plantar flexion, Inversion and eversion, Muscle reaction for ankle dorsal flexion, plantar flexion, Inversion and eversion. Measurements were rated within 3 trials for each criterion before and after each session for

the affected leg. For the non-affected leg same criteria were measured before and after session without applying the rehabilitation protocol

**Results:** a high significant ( $p=.000<0.05$ ) a progress is noted during rehabilitation protocol. Results show high correlation between one minute stands and balance; one minute stand and muscle reaction; balance and maximal resistance was significant. Results show non-significance of correlation between muscle reaction and maximal resistance for ankle dorsal flexion, plantar flexion, Inversion and eversion. Moreover, we can notice that training period has had a slight effect on the non-affected side.

**Conclusions:** The 4-week dynamic neuromuscular training program improves the parameters of ankle joint sensorimotor control in an athlete with CAI.

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**Keywords:** CAI: chronic ankle instability, MI: mechanical instability, FI: functional instability, RM: Maximal resistance

## Introduction

The human ankle joint is one of the most frequently injured joints in the human body, with lateral ligament sprains being the most common type of ankle injury. Ankle sprain injuries are the most common injury sustained during sporting activities. It accounts for up to 40% of all athletic injuries and is most commonly seen in athletes participating in basketball, soccer, running, and ballet/dance. Up to 53% of basketball injuries and 29% of soccer injuries can be attributed to ankle injuries and 12% of the time lost in football is due to ankle injuries. Recent epidemiological studies in high school athletes have found ankle sprains to be the most prevalent soccer injury amongst boys and girls. (16% and 20% respectively).

Ankle ligament sprains were also the most common injury pattern in basketball, usually occurring from jumping and landing, being stepped on, and rotation around a planted foot.

Three-quarters of ankle injuries involve the lateral ligamentous complex with an equal incidence between males and females. Subjects who describe the presence of feelings of ankle joint instability and reported episodes of “giving way” are considered to have functional instability (FI). Two other frequently used terms include mechanical instability (MI) of the ankle joint and chronic ankle instability (CAI). MI of the ankle joint refers to the presence of increased hindfoot inversion laxity or excessive anterior talocrural excursion, while CAI is used as an all-encompassing term to indicate the presence of both FI and MI. Most ankle sprains do not develop lateral ligamentous instability and those that do are thought to be due to a loss of mechanoreceptors. Eighty percent of acute ankle sprains make a full recovery with conservative management, while 20% of acute ankle sprains

develop mechanical or functional instability resulting in chronic ankle instability. Chronic ankle instability can lead to early degenerative changes in the ankle due to unbalanced loading on the medial side of the ankle. The treatment and rehabilitation of individuals with chronic ankle instability CAI poses a significant challenge for clinicians, and has enormous healthcare and economic costs. Numerous surgical procedures have been described for the treatment of chronic lateral ankle instability beginning with Elmslie, in 1934, who first reported using fascia lata graft to reconstruct the lateral ankle ligaments. Today, surgical treatment of lateral ankle instability can be divided into anatomic repair, non-anatomic reconstruction, and anatomic reconstruction. A number of studies have investigated the effect of various rehabilitation protocols on ankle joint sensorimotor control. However, many studies have examined the effect of neuromuscular training on ankle joint positioning at initial contact during walking and jump landing, the effects of dynamic neuromuscular training protocols on established ankle joint injury risk factors and sensorimotor control, and effect of proprioception treatment during ankle rehabilitation. Thus, the objective of the present study was to examine the validity of proprioception training program on parameters of sensorimotor function in an athlete with chronic ankle instability (CAI).

## **Material and methods**

Ankle joint sprain and the subsequent development of chronic ankle instability (CAI) are commonly encountered by clinicians involved in the treatment and rehabilitation of musculoskeletal injuries. It has been recently supported that ankle joint post-sprain rehabilitation protocols should incorporate dynamic neuromuscular training to enhance ankle joint sensorimotor capabilities. Ankle inversion sprains are frequent injuries in sports and activities of daily living that mostly concern young physically active individuals. It has been estimated that its incidence is about one ankle inversion per 10,000 people per day. Ankle ligament injuries constitute between 15 and 45% of all sports-related injuries and occur in sports with a high level of jumping and cutting activities, especially in ball sports. Independent of the initial treatment, persistent symptoms or re-injury remains in 10–30% of individuals. Ankle joint instability can be defined as either mechanical or functional instability. Mechanical instability refers to objective measurements of ligament laxity, whereas functional instability is defined as recurrent sprains and/or the feeling of giving way. Causal factors include proprioceptive deficit, muscular weakness, and/or absent coordination. For rehabilitation after injury or prevention of re-injury, proprioceptive training has been recommended throughout literature. The contents of such programs vary, but most of them include some exercises, e.g., exercising on an ankle disk with a frequency of several times per week.

There is no much variance about the actual benefits of such programs. It has to be considered that not only strength, but also coordination should be addressed in various ways. In addition, there is the question of how to integrate these specific ankle disk procedures for several times per week within a normal training process. The effects of proprioceptive exercises have been evaluated with test procedures regarding angle reproduction, postural sway, or muscle reaction times. Only a few investigators used more than one test procedure simultaneously and there is also some debate on the actual benefit of proprioceptive exercise programs concerning the different testing procedures. Therefore, the purpose of this project was to investigate the validity of the effect of a 4-week proprioception training protocol on ankle sprain. The objective parameters were obtained by measuring the ankle balance, muscle reaction time and maximal resistance of ankle muscles. Proprioception training protocol for ankle sprain is valid concerning ankle muscle reaction, gaining balance and increase in ankle maximal resistance force.

Population: Inclusion criteria for the study were: 26 male patients between the ages of 18 and 40 years old with chronic ankle sprain unilateral or bilateral, has followed a proprioceptive training protocol 3 times/week for 4 weeks. Exclusion: patient don't having any operation on tested side. Procedure: Patient General History was taken at first session including general information, medical or surgical antecedents with ankle sprain frequency and ankle stability test. Three parameters were measured at the beginning and the end of each session. The data entry was filled during measurement on a draft sheet then on an excel sheet Ankle muscle reaction: Materials: freeman board, Chronometer, Specific device made by a mechanical engineer to measure muscle reaction AMRT (ankle muscle reaction test)

First, a patient stood on freeman board in a stable position. The board was placed in a stable and flat area AMRT, otherwise it doesn't mark any value. A 2kg was thrown down from 30 cm high, toward the board direction (plantar flexion FP, Dorsal flexion FD, Inversion, Eversion), the weight was always felt on freeman external side. The AMRT will display in millisecond the ankle muscle reaction for each movement. Mechanical characteristic of AMRT device: The following device uses mercury switches (the mercury switch is placed in an angle such that when the tilt angle is more than the predefined threshold the switch will connect its terminals). The output of the switch is then fed into a microcontroller (PIC16F887) which uses a 4 MHz crystal oscillator (a crystal oscillator is used because it is known for its high precession) as an input clock. The microcontroller then calculates the time in which the switch has been connected (this is the time needed for a person to go back into the steady state i.e. reflex time), and displays it on the screen.



This device also can be used to calculate how many times a person's leg has shaken in a given amount of time (1, 3, 5 minutes) or for an infinite period of time. To do so the output of the switches is summed together using AND gates and fed into the microcontroller.

The microcontroller then increments the count on each negative transition and then displays the result on the screen. Note that the device also displays the remaining time in case of timed operation.

**Ankle maximal resistance:** Maximal resistance RM: A repetition maximum (RM) is the most weight you can lift for a defined number of exercise movements. A "1 RM", for example, is the heaviest weight you can lift if you give it your maximum effort. Then "1RM" is your personal weightlifting record for any particular exercise. A "10RM" will be the heaviest weight you can lift for 10 consecutive exercise repetitions.

**Material:** ankle leg exercise machine / Weights .A patient was rested in a sitting position with 90° knee flexion and the foot reposed on the ankle leg exercise machine in neuter position. A weight was added on one side of the device, then starting from the beginning of range of motion, the patient was asked to move his foot to the opposite direction. For example for measuring FD, weight was put on the front side of the device, starting from full plantar flexion, the patient did dorsal flexion to its maximum range of motion. Maximal resistance was registered when the patient attained to lift the maximal weight one time.

**Balance .**This part is divided into two exercises: stability duration and the number of repetition of leg shaken in a given amount of time (1, 3, 5 minutes).

**Stability duration .**Materials: freeman board /Chronometer . The aim of this part is to measure the time of the patient's ability to retain balanced and stability on a freeman board. While the patient was standing up on the board, he was asked to maintain his balance (holding an immobile bar or the wall) and count to 3.Then after releasing his hands, the time spent was measured using chronometer and results registered in seconds.

**Shaking leg repetition :.**Materials: freeman board /Chronometer Specific device made by a mechanical engineer to measure muscle reaction AMRT (ankle muscle reaction test) .



The patient rested in the same position as in the stability duration test. The AMRT device was set up at 1 or 3 minutes, depending on the patient's ability. At the count of "3", the patient released his hand and stabilizes by finger. The AMRT device then counted the number of freeman board shaking during a precise time.

## Training protocol

Strengthening EXERCISES: 3 times / week

- Soleus and gastrocnemius stretch: Hold for 30 s, rest for 10 s, and repeat exercise 15 time 2 set
- Calf stretch (using stairs): Hold for 30 s, rest for 10 s, and repeat exercise 15 time 2 set
- Tubing Exercises ( PF, Inversion, Eversion ): Hold for 30 s, rest for 10 s, and repeat exercise 15 time 2 set
- Weight around ankle in siting position (FD,IN,EV): Hold for 30 s, rest for 10 s, and repeat exercise 15 time 2 set
- Toe Raises, stairs exercises: Hold for 30 s, rest for 10 s, and repeat exercise 15 time 2 set

Balance training protocol: Hold for 30 s, rest for 10 s, and repeat exercise 10 time 2 set

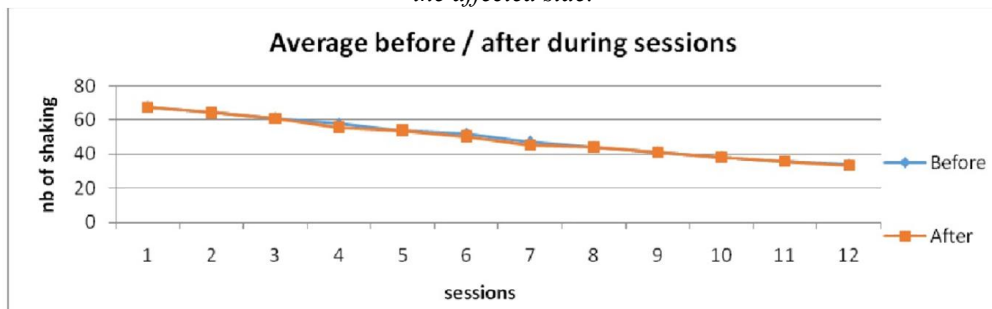
Phase	Surface	Session	Exercises	Eye
Week 1	Floor	1 <sup>st</sup>	Open Single-leg stance	Open
			Single-leg stance while swinging the raised leg	Open
		2 <sup>nd</sup>	Open Single-leg squat (30°-45°) Open Single-leg stance while performing functional activities (dribbling, catching)	Open Open
			Open Single-leg squat (30°-45°) while swinging the raised leg	Open
		3 <sup>rd</sup>	Open Single-leg squat (30°-45°) while performing functional activities (dribbling, catching,)	Open
			Sitting quadriceps table gym ball multidirectional Open Single-leg squat (30°-45°) while swinging the raised leg against elastic band	Open Open
Week2	Floor	1 <sup>st</sup>	Open Single-leg squat (30°-45°) while performing functional activities (dribbling, catching,) while swinging the raised leg against elastic band Balancing against a gym ball (wall)	Open Open
		2 <sup>nd</sup>	Open Single-leg squat (30°-45°) while swinging the raised leg Open Single-leg squat (30°-45°) while performing functional activities (dribbling, catching,)	Closed Closed
			Balancing against a gym ball (wall) with the throwing and catching ball	Open
	Towel	3 <sup>rd</sup>	Multidirectional jumping (10-15 repetition) Open Single-leg squat (30°-45°) while swinging the raised leg	Open Open
			Open Single-leg squat (30°-45°) while performing functional activities (dribbling, catching,)	Open
Week 3	Towel	1 <sup>st</sup>	Open Single-leg squat (30°-45°) while swinging the raised leg against elastic band Open Single-leg squat (30°-45°) while performing functional activities (dribbling, catching,) while swinging the raised leg against elastic band	Open Open
	Floor		Multidirectional jumping with throwing and catching ball (10-15 repetition)	open
	Towel			
	Towel	2 <sup>nd</sup>	Open Single-leg squat (30°-45°) while swinging the raised leg against elastic band	Closed

	Board	3 <sup>rd</sup>	Open Single-leg squat (30°-45°) while performing functional activities (dribbling, catching,) while swinging the raised leg against elastic band	Closed
			Multidirectional jumping (10-15 repetition)	Open
			Open Single-leg squat (30°-45°)	Open
	Towel		Open Single-leg stance while performing functional activities (dribbling, catching)	Open
Week 4	Board	1 <sup>st</sup>	Open Single-leg squat (30°-45°) while swinging the raised leg against elastic band	Open
			Open Single-leg squat (30°-45°) while performing functional activities (dribbling, catching,) while swinging the raised leg against elastic band	Open
			Multidirectional jumping (10-15 repetition)	Open
		2 <sup>nd</sup>	Open Single-leg squat (30°-45°) while swinging the raised leg against elastic band	Open
			Open Single-leg squat (30°-45°) while performing functional activities (dribbling, catching,) while swinging the raised leg against elastic band	Open
			Multidirectional jumping with catching and throwing ball	Open
			Open Single-leg squat (30°-45°) while swinging the raised leg against elastic band	Closed
			Open Single-leg squat (30°-45°) while performing functional activities (dribbling, catching,) while swinging the raised leg against elastic band	Closed

## 1.1 Statistical Study.

### 1.1.1 A: One minute stand

Figure 1: The Average number of shaking in one minute stand before and after sessions for the affected side.



The graph shows approximate results of shaking value during the training protocol of each session with minor differences at 5th and 6th sessions.

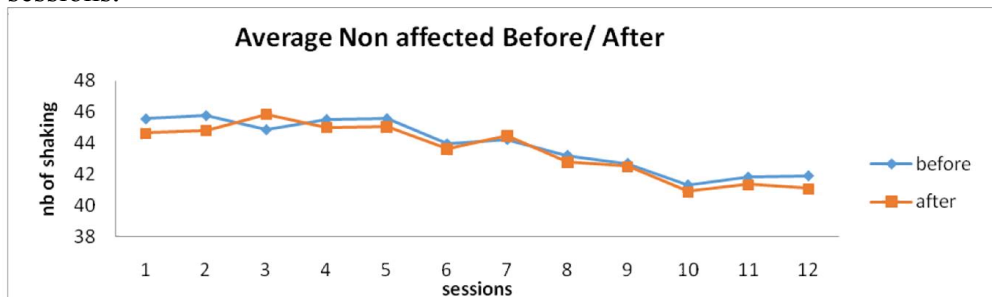


Figure2: Average number of shaking in one minute stand before and after sessions for the non-affected side.

The graph shows approximately the same level of the number of shaking for each session; however there is a slight decrease for shakings values throughout sessions.

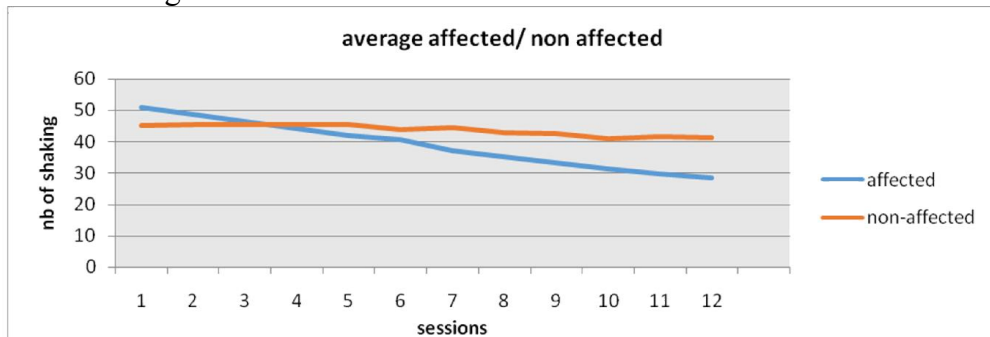


Figure3: Average number of shaking in one minute stand between affected and non-affected leg during training period,

The graph shows that the number of shakings in the affected leg is decreasing throughout sessions till it reaches a value less than that of the non-affected one at the end.

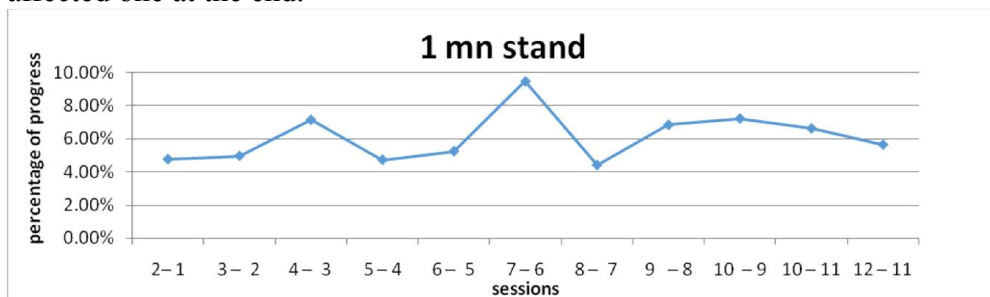


Figure 2 The difference of progress in percentage in a minute stand between sessions for the affected leg.

The graph shows unsteady progress among the sessions, with a peak on the 7th one followed by a slight increase to reach approximately the initial value.

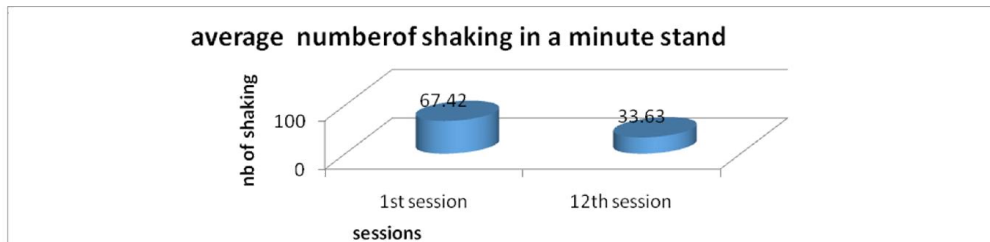


Figure5: the average of scores in a minute stand between 1<sup>st</sup> and last session for the affected side.

The graph shows clearly that there is a significant decrease in the shaking average during sessions

### 1.1.2 B: Balance

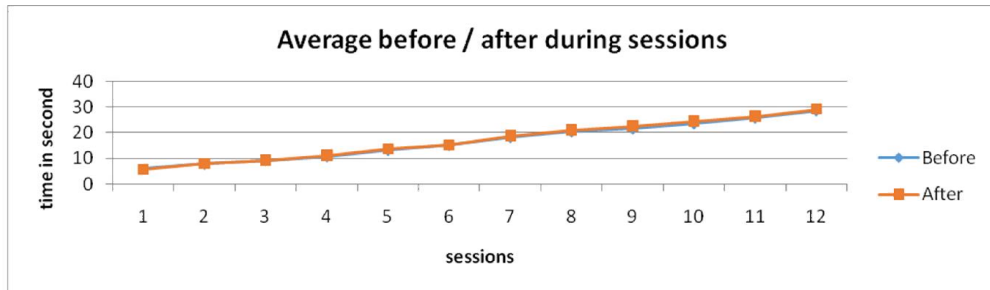


Figure 3: average of balance measurement on freeman board during sessions for the affected leg before and after sessions.

Patients have similar results during each session, but throughout sessions they have a considerable increase of value starting from the 7th till end of training.

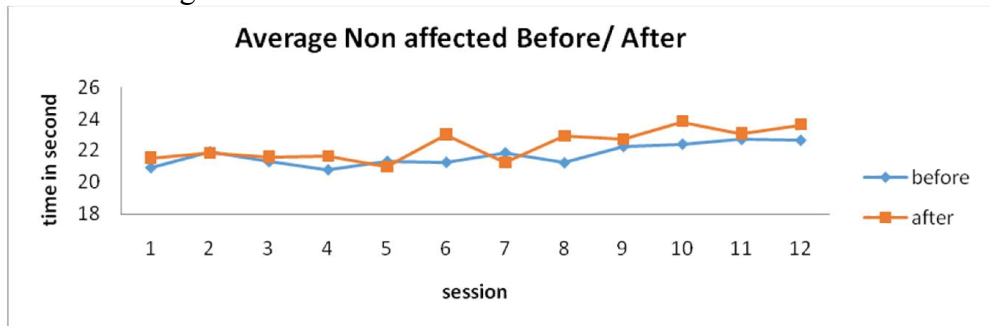


Figure7 : average of balance measurement for the non-affected leg before and after sessions.

Result shows the random variation in scores before and after each session.

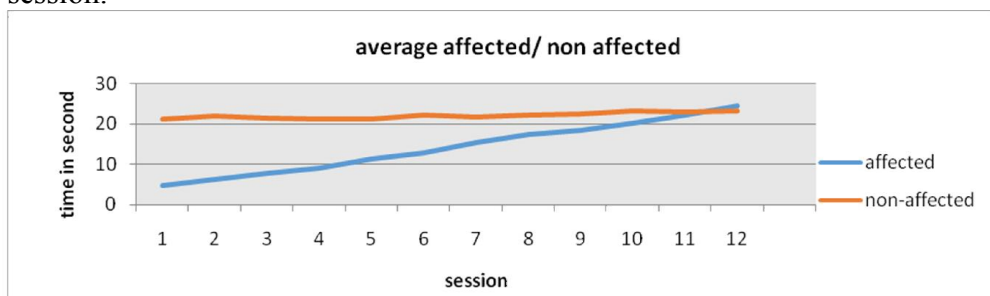


Figure8: average of balance for the affected and the non-affected side,

The graph shows that the balance of the affected leg has ascending increase in its value starting at a value >5s and ending at >20s compared to the non-affected which maintain same value throughout sessions and end with a value similar to the value of the affected one.

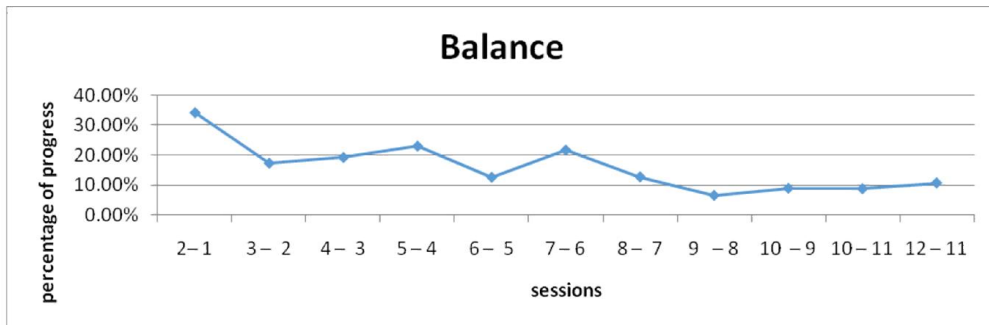


Figure9: shows the percentage of difference of progress for balance between sessions for the affected leg.

Results demonstrate unsteady progress value of balance between first eight sessions. Then at the 8th it experienced a stable percentage of increase.

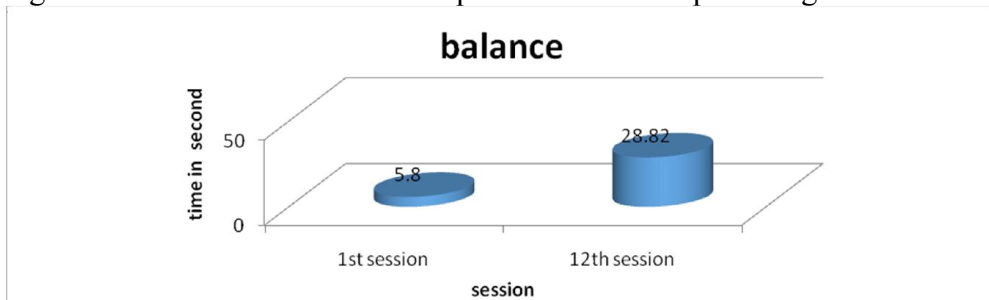


Figure10: the average of scores in balance between 1<sup>st</sup> and last session for the affected side.

The graph clearly shows the significant increase of average of scores in balance throughout training sessions

### 1.1.3 C: Maximal resistance

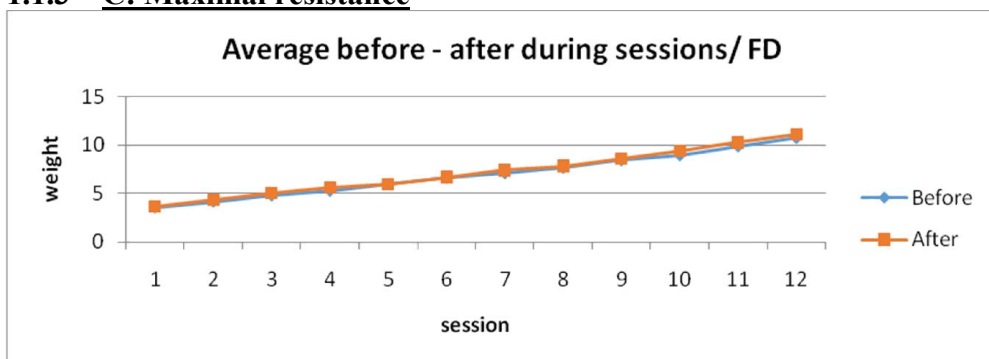


Figure 4: the average of maximal resistance for dorsal flexion of the affected leg.

Graph shows that the line score adopted the same value during training protocol of each session. Patients have started and ended approximately at close value

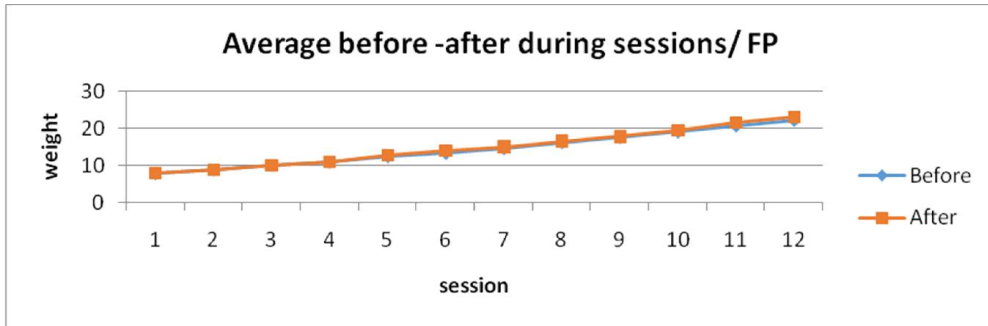


Figure 5: the average of maximal resistance for plantar flexion of the affected leg before and after sessions.

The graph clearly shows that patients have a straight line of increasing value during sessions.

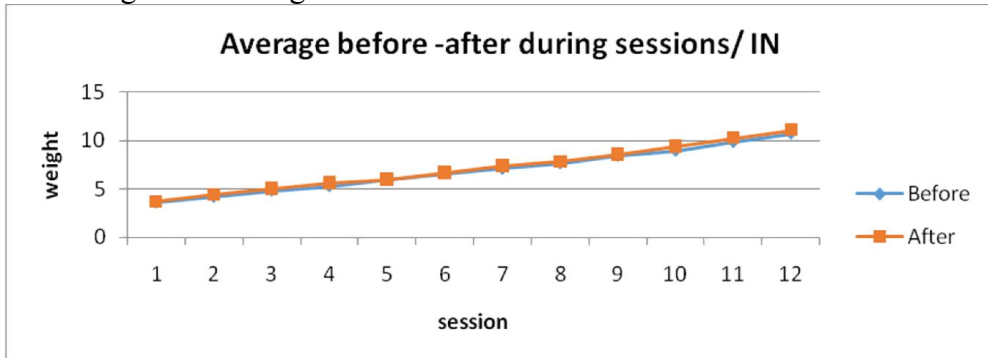


Figure 6 : average of maximal resistance for ankle inversion for the affected leg before and after sessions.

The graph indicates increased value of the average of maximal resistance for patients during training protocol by the increase in weight lifted during sessions.

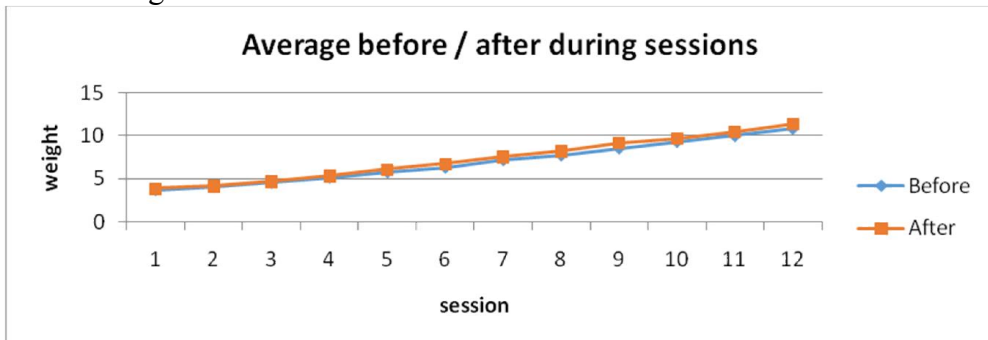


Figure 7 average of maximal resistance of the affected leg for ankle eversion.

Chart show the significant increasing of value during training period.

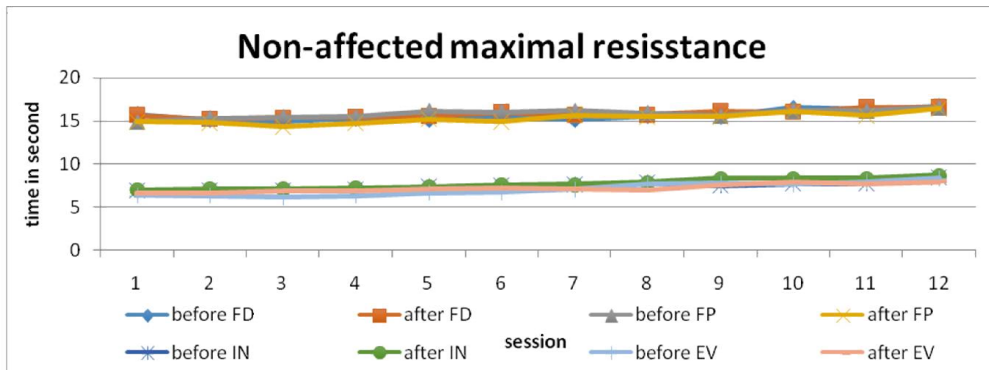


Figure 8 average of maximal resistance of the non- affected leg for ankle function.

This shows that patients had an alteration of value during training period

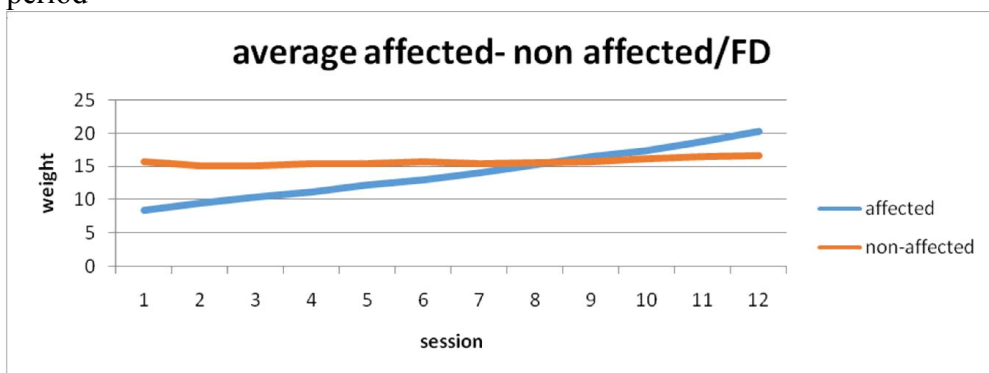


Figure 9: Comparison of the average of maximal resistance between affected and non-affected for ankle dorsal flexion.

This shows increased value of the affected legs during sessions started at <10kg and ended at >20kg, better with comparison to that of the non-affected which started at >15 and ended at <18kg

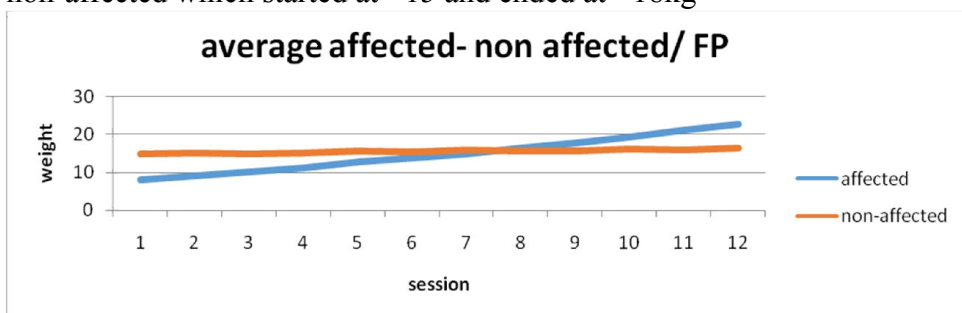


Figure 10: Comparison of the average of maximal resistance between affected and non-affected for ankle plantar flexion.

This shows that the affected legs started at a value <8kg smaller than non- affected legs >13kg and continues with a straight line of increase till the

end of sessions at an amount  $\geq 22\text{kg}$  higher than the ending value of non-affected legs  $\geq 16\text{kg}$ .

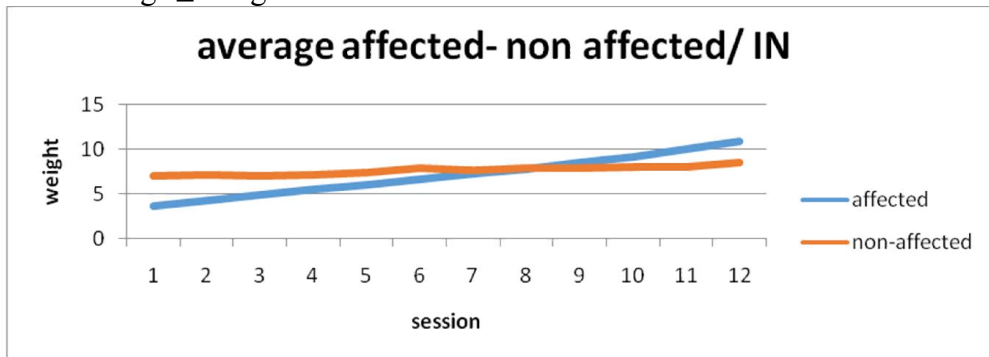


Figure18: Comparison of average maximal resistance between affected and non-affected for ankle inversion.

The affected legs have a straight line of increase for maximal resistance that ends sessions at a value  $\geq 11\text{kg}$  higher than that of non-affected legs  $\geq 8\text{kg}$ .

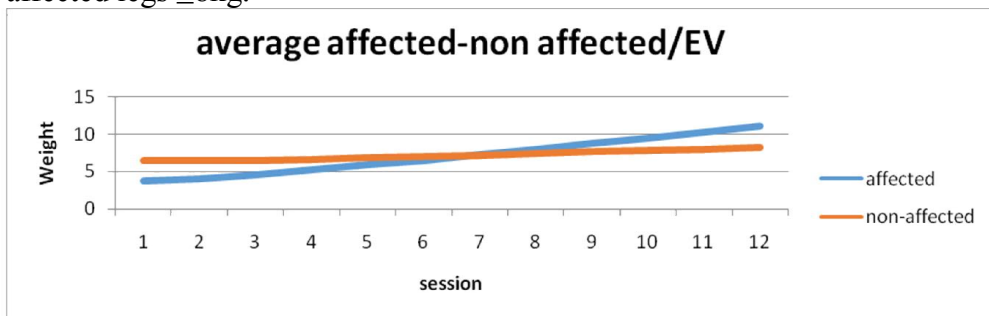


Figure 11: Comparison of the average of maximal resistance for ankle eversion between affected and non-affected.

The affected legs have a significant increase in maximal resistance till they end sessions at an amount  $\geq 10\text{kg}$  higher than the ending value of non-affected legs  $\geq 8\text{kg}$ .

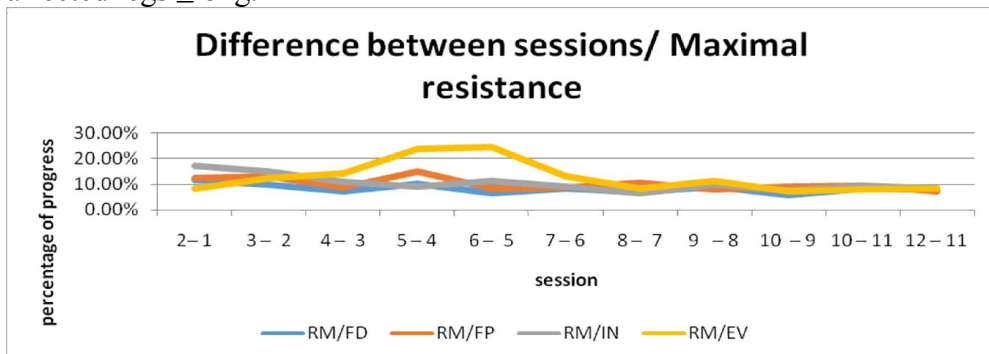


Figure20: average of percentage of difference between sessions for ankle function for the affected leg.



As seen the best value of progress for ankle eversion is at 5th and 6th session. After that, patients continue with similar value of progress from 7th session till 12th session.

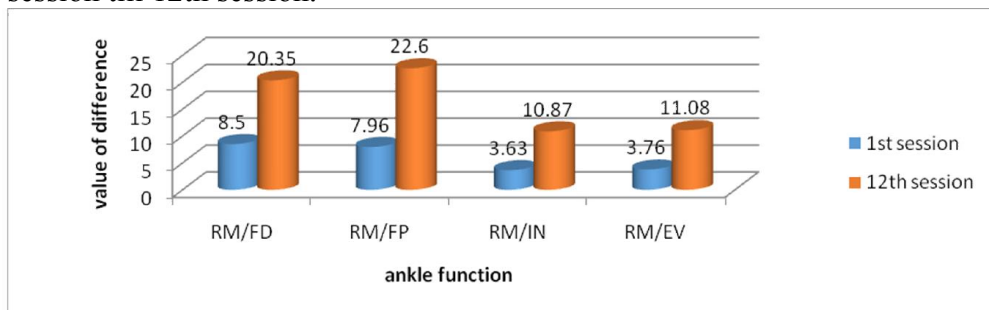


Figure 12: the value of progress for the affected leg by comparing results between first and last sessions.

This shows that ankle dorsal and plantar flexions have better scores of progress than that of ankle inversion and eversion.

## Discussion

Ankle injuries are the most common injuries across a wide variety of sports. Athletes who suffer from ankle sprains are more likely to reinjure the same ankle which can result in disability and can lead to chronic pain or instability in 20% to 50% of these cases.

There is a high rate of ankle sprain incident in sport game. Which prevents athletes from future sports participation. Braces and tape are widely used measures to prevent ankle sprains. It is known from previous research that use of braces reduces incidence of ankle sprain, and it is argued that tape also has a preventive effect because the working mechanism is thought to be similar to braces. However, both measures have negative side effects; for example, whereas braces can be irritating if not fitted properly and are argued to negatively affect performance, tape loosens during play, needs to be applied by qualified personnel, and can cause skin irritation. Proprioceptive balance board training is another measure, presumably as effective as braces and tape but without the above-mentioned negative side effects. This measure is already used in the rehabilitation following ankle sprain to strengthen muscles and ligaments and to restore proprioception of the damaged structures around the ankle. However, previous studies failed to show a significant reduction of ankle sprains, presumably because of low sample size and/or inadequate study design. This study is conducted to examine the validity of Proprioception training effects on ankle stability, force and the muscle reaction. The effectiveness of the rehabilitation program determines the success of rehabilitation and athletic performance.

Rehabilitation of ankle injuries should be structured and individualized. In the acute phase, the focus should be on controlling inflammation, reestablishing full range of motion, and gaining strength. Once pain-free ranges of motion and weight bearing have been established, balance-training exercises should be incorporated to normalize neuromuscular control. Advanced-phase rehabilitation activities should focus on regaining normal function. This includes exercises specific to those that will be performed during sport. While having a basic template to follow for the rehabilitation of ankle injuries is important, clinicians must remember that individuals respond differently to exercises. Therefore, each program needs to be modified to fit the individual's needs. Rehabilitation of the Ankle after Acute Sprain or Chronic Instability.

The findings general in this intervention study reveal a decrease in number of repetition of ankle shaking during a minute on a freeman board for patients, increased time in second for balance on freeman board, an increase of maximal resistance lifted on leg ankle exerciser machine with reduced time of ankle reaction for dorsal flexion, plantar flexion, inversion and eversion.

Our study contradict with the result of Söderman et al, who found no effect of proprioception training on the incidence of ankle sprains. However, their study was carried out in female soccer players. In contrast, other studies have suggested a preventive effect of a proprioceptive training program on the risk of sustaining ankle sprains. According to the studies of Bahr et al Sander E and Tropp et al, the effect of the intervention is greater for players with a history of ankle sprains. It is known from the literature that proprioceptive function at the ankle joint is reduced in athletes after injury, which is suggested to lead to the high risk of reinjury after an initial injury. This might suggest that in our study, as in the previous studies on Proprioception training, we are not looking at a primary preventive effect of the balance board training program but at a rehabilitative effect.

We can clearly notice the effect of proprioception training protocol for ankle instability moreover, statistical analysis using Pearson's correlation and paired simple test show that there's a significant progress during rehabilitation period on ankle one minute stand, balance, muscle reaction and maximal resistance  $p=.00<0.05$

Whereas, the correlation is very high between ankles one minute stand and balance. This is a negative correlation which means the number of shaking in one minutes standing on freeman board decreases, the balance time increases. On the other hand, the correlation between maximal resistance and muscle reaction for ankle dorsal flexion and plantar flexion shows a weak relationship between variables; in other words the changes in one variable are not correlated with changes in the second variable. Because

the correlation for ankle inversion and eversion for muscle reaction and maximal resistance is significant it's set to be a positive correlation, that is when one variable increases in value, the second variable also increases. The correlation between one minute stand and balance is not significant with ankle dorsal flexion and inversion maximal resistance but significant with ankle plantar flexion and eversion muscle reaction.

As result there is evolution in value for the non-affected leg comparing the first and last sessions 8.18% for ankle one minute stand; 7.99% for balance; 7.01% for ankle maximal resistance dorsal flexion, 10.18% plantar flexion, 19.45% inversion, 20.90% eversion, 15.59% muscle reaction ankle dorsal flexion, 19.69% plantar flexion, 12.46% inversion and 15.36% eversion. Thus we can conclude that patient have gained minor talent during rehabilitation period (for the non-affected limb) without being involved in Proprioception rehabilitation protocol.

The final result of this study is consistent with our hypotheses, which propose the validity of proprioception rehabilitation on instable ankle function.

## **Conclusion**

The ankle and foot are two complex structures and the arthokinematics allow for versatile function. Moreover, the stability of the ankle is critical for bipedal motion. An intricate part of the functionality of the ankle is due to somato-sensation, primarily proprioception. Ankle injury is the most common musculoskeletal injury and athletic performance places the ankle at high risk for injury.

Ankle sprains are the most common injury that occurs during athletic events, with the lateral ligamentous complex most frequently injured. Approximately 20% of acute ankle sprains develop functional or mechanical instability resulting in chronic ankle instability. Over the years, an improved understanding of the biomechanics and path anatomy has expanded our treatment options for lateral ankle instability. However, the optimal means of prevention and treatment is still not fully ascertained. Proprioceptive rehabilitation remains the mainstay of treatment for acute ankle sprains.

There is substantial literature supporting proprioceptive training as a preventative measure for ankle injury, but a large amount of the literature is of low grade; few studies were of a high grade of evidence. Programs including proprioception, balance, and endurance have been shown to decrease the incidence of ankle injuries, specifically traumatic ankle inversion.

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The present study shows that a proprioceptive program is effective in improving ankle function as balance, muscle reaction and maximal resistance.

Future studies focusing on the cortical changes of the brain in populations with documented chronic ankle instability should be performed to study the changes that take place from proprioceptive training. Other areas of future study should address: what roles can the central nervous system play in the regulation of ankle stability, the influence of athletic ability on ankle stability, and the effects of age on proprioceptive training.

Therefore, the use of such a program in sport games is recommended for players with a history of ankle sprains.

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